

THE INFLUENCE OF ADOLF VON HENSELT ON SERGEI RACHMANINOFF:
A COMPARATIVE ANALYSIS OF HENSELT'S PIANO CONCERT OP. 16
AND RACHMANINOFF'S PIANO CONCERTO OP. 18

Meenha Kim, B.M., M.M.

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APPROVED:

Adam Wodnicki, Major Professor
Timothy Jackson, Co-Major Professor
Joseph Banowetz, Committee Member
Steven Harlos, Chair of the Division of
Keyboard Studies
Jaymee Haefner, Director of Graduate Studies
in the College of Music
John W. Richmond, Dean of the College of
Music
Victor Prybutok, Dean of the Toulouse
Graduate School

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Sergei Rachmaninoff's Second Piano Concerto is one of the most frequently performed and beloved works. It is ironic that, however, despite its huge popularity, there are not many in-depth studies of this concerto, offering pianists few opportunities to examine the work from an analytical perspective. The detailed analysis presented in this study reveals that the main structure of this concerto is directly related to a motto comprising three-notes, designated the 6-5-1 motto. In his use of this motto in the Second Piano Concerto, Rachmaninoff was profoundly influenced by the German-born composer Adolf von Henselt. Indeed, while von Henselt's importance for Russian music has been generally recognized, his impact, especially upon Rachmaninoff, has received insufficient attention in the scholarly literature. This study also examines Henselt's Piano Concerto Op. 16 in depth in order to demonstrate how Rachmaninoff's masterwork relates to its precursor. Additional studies of the 6-5-1 motto in European compositions from the nineteenth century trace the motto's origins.

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TABLE OF CONTENTS

	Page
LIST OF TABLES	iv
LIST OF FIGURES	v
LIST OF MUSICAL EXAMPLES	vii
CHAPTER 1. INTRODUCTION	1
1.1 Rachmaninoff's Piano Concerto No. 2	1
1.2 Use of the 6-5-1 Motto by Other Composers	7
1.2.1 Brahms' Clarinet Sonata Op. 120 No. 1 in F minor	7
1.2.2 Chopin's Mazurka Op. 63 No. 3 in C-sharp minor.....	13
CHAPTER 2. HENSELT AND HENSELT'S PIANO CONCERTO, OP. 16.....	18
2.1 <i>Allegro patetico</i>	20
2.2 <i>Larghetto</i>	33
2.3 <i>Allegro agitato</i>	39
CHAPTER 3. HENSELT'S INFLUENCE ON RACHMANINOFF	47
3.1 Prelude Op. 3 No. 2 in C-sharp Minor.....	47
3.2 The Second Piano Concerto Op. 18 in C minor.....	52
3.2.1 <i>Moderato</i>	52
3.2.2 <i>Adagio sostenuto</i>	64
3.2.3 <i>Allegro scherzando</i>	73
3.3 Expressing the Motto in the Performance.....	87
CHAPTER 4. CONCLUSION.....	93
BIBLIOGRAPHY	96

LIST OF TABLES

	Page
Table 2.1: Outline of the First Movement of Henselt's Piano Concerto	20
Table 2.2: Outline of the Second Movement of Henselt's Piano Concerto.....	33
Table 2.3: Outline of the Finale of Henselt's Piano Concerto.....	39
Table 3.1: Outline of the First Movement of Rachmaninoff's Second Piano Concerto.....	52
Table 3.2: Outline of the Second Movement of Rachmaninoff's Second Piano Concerto	64
Table 3.3: Outline of the Finale of Rachmaninoff's Second Piano Concerto	73

LIST OF FIGURES

	Page
Figure 1.1: Middleground Sketch of Brahms' Clarinet Sonata Op. 120, the First Movement, Later Return of the Tonic.....	11
Figure 1.2: Background Sketch of Brahms' Clarinet Sonata Op. 120, the First Movement., Earlier Return of the Tonic	13
Figure 2.1: Middleground Sketch of Henselt Piano Concerto, the First Movement, mm. 1-32...	22
Figure 2.2: Middleground sketch of Henselt's Piano Concerto, the First Movement, the Second Theme	23
Figure 2.3: Background Sketch of Henselt Piano Concerto, the First Movement, mm.1-52	24
Figure 2.4: Background Sketch of Henselt's Piano Concerto, the First Movement, mm. 62-134.	26
Figure 2.5: Development of Henselt's Piano Concerto, the First Movement, mm. 134-248	26
Figure 2.6: Background Sketch of Henselt's Piano Concerto, the First Movement, the Recapitulation	29
Figure 2.7: Middleground Sketch of Henselt's Piano Concerto, the Second Movement, Section A	35
Figure 2.8: Middleground Sketch of Henselt's Piano Concerto, the Second Movement, Section B	36
Figure 2.9: Background Sketch of Henselt's Piano Concerto, the Second Movement	36
Figure 2.10: Middleground Sketch of Henselt's Piano Concerto, the Second Movement, the Returning A Section.....	38
Figure 2.11: Middleground Sketch of Henselt's Piano Concerto, Finale, mm. 1-94	40
Figure 2.12: Background Sketch of Henselt's Piano Concerto, the Second Theme of the Finale.	42
Figure 2.13: Middleground Sketch of Henselt's Piano Concerto, Finale, mm. 177-321	44
Figure 2.14: Background Sketch of Henselt's Piano Concerto, Finale	44
Figure 2.15: Middleground Sketch of Henselt's Piano Concerto, Finale, mm. 321-434	45
Figure 3.1: Middleground Sketch of Rachmaninoff's Second Piano Concerto, the Primary Theme in the First Movement.....	56

Figure 3.2: Middleground Sketch of Rachmaninoff's Piano Concerto, the First Movement, the Second Theme.....	59
Figure 3.3: Middleground Sketch of Rachmaninoff's Second Piano Concerto, the Development of the First Movement.....	61
Figure 3.4: Middleground Sketch of Rachmaninoff's Second Piano Concerto, the Recapitulation of the First Movement.....	62
Figure 3.5: Background Sketch of Rachmaninoff's Second Piano Concerto, the First Movement	64
Figure 3.6: Middleground Sketch of Rachmaninoff's Second Piano Concerto, the Second Movement, Section A	67
Figure 3.7: Middleground Sketch of Rachmaninoff's Second Piano Concerto, the Second Movement, Section B.....	70
Figure 3.8: Middleground Sketch of Rachmaninoff's Second Piano Concerto, the Second Movement, Returning A Section	71
Figure 3.9: Middleground Sketch of Rachmaninoff's Second Piano Concerto, the Primary Theme in the Finale.....	74
Figure 3.10: Middleground Sketch of Rachmaninoff's Second Piano Concerto, the Second Theme in the Finale	78
Figure 3.11: Middleground Sketch of Rachmaninoff's Second Piano Concerto, the Development in the Finale.....	79
Figure 3.12: Middleground Sketch of Rachmaninoff's Second Piano Concerto, the Recapitulation in the Finale	82
Figure 3.13: Background Sketch of Rachmaninoff's Finale	85

LIST OF MUSICAL EXAMPLES

	Page
Example 1.1: Rachmaninoff's Prelude Op. 3 No 2, mm. 1-7	2
Example 1.2: First Movement of Henselt's Piano Concerto Op. 16, mm.1-4.....	2
Example 1.3: Initial Three Mottos in Brahms' Clarinet Sonata Op. 120 No. 1.....	9
Example 1.4: Possible Reading in accordance with Prolonging V, the First Movement of Brahms' Clarinet Sonata Op. 120 No. 1	10
Example 1.5: Possible Reading in accordance with the Earlier Return of the Tonic, the First Movement of Brahms' Clarinet Sonata, Op. 120 No. 1.....	12
Example 1.6: Fundamental Analysis of Chopin's Mazurka Op. 63 No. 3	14
Example 2.1: Initial Statement of the Motto in the First Movement of Henselt's Piano Concerto, mm. 1-4.....	21
Example 2.2: Beginning of the Second theme in the First Movement of Henselt's Piano Concerto, mm. 30-43	23
Example 2.3: Transpositions of the Motto in the First movement of Henselt's Piano Concerto, mm. 129-143	25
Example 2.4: <i>Religioso</i> in the First Movement of Henselt Piano Concerto, mm. 186-193.....	28
Example 2.5: End of the First Movement of Henselt's Piano Concerto, mm. 334-340	29
Example 2.6: Fundamental Structure of the First Movement of Henselt's Piano Concerto, mm. 76-89	31
Example 2.7: Fundamental Structure of the First Movement of Henselt's Piano Concerto, mm. 134-149	32
Example 2.8: Initial Statement of the Motto in the Second Movement of Henselt's Piano Concerto, mm. 1-12	34
Example 2.9: Second Movement of Henselt's Piano Concerto, mm. 33-40	37
Example 2.10: Second Movement of Henselt's Piano Concerto, mm. 82-84	38
Example 2.11: Initial Statement of the Motto in the Finale of Henselt's Piano Concerto, mm. 1- 12.....	39
Example 2.12: Finale of Henselt's Piano Concerto, mm. 28-43	40

Example 2.13: Finale of Henselt's Piano Concerto, mm. 102-109	42
Example 2.14: Finale of Henselt's Piano Concerto, mm. 137-144	42
Example 2.15: Finale of Henselt's Piano Concerto, mm. 155-165	43
Example 2.16: Finale of Henselt's Piano Concerto, mm. 218-223	44
Example 2.17: Finale of Henselt's Piano Concerto, mm. 51-55	45
Example 2.18: Finale of Henselt's Piano Concerto, mm.122-129	46
Example 2.19: Finale of Henselt's Piano Concerto, mm. 132-137	46
Example 3.1: Fundamental Structural Analysis of Rachmaninoff's C#-minor Prelude, the section A.....	49
Example 3.2: Fundamental Structural Analysis of Rachmaninoff's C#-minor Prelude, the section B.....	50
Example 3.3: Fundamental Structural Analysis of Rachmaninoff's C#-minor Prelude, the Returning A Section.....	51
Example 3.4: First Movement of Rachmaninoff's Second Piano Concerto, mm. 1-19	53
Example 3.5: First Movement of Rachmaninoff's Second Piano Concerto, mm. 1-62	54
Example 3.6: Transformation of 6	57
Example 3.7: Transition to the Second Theme, the First Movement of Rachmaninoff's Piano Concerto, mm. 75-83	58
Example 3.8: First Movement of Rachmaninoff's Second Piano Concerto, mm. 83-87	59
Example 3.9: First Movement of Rachmaninoff's Second Piano Concerto, mm. 145-156	59
Example 3.10: First Movement of Rachmaninoff's Second Piano Concerto, mm. 177-193	61
Example 3.11: First Movement of Rachmaninoff's Piano Concerto, mm. 225-237	62
Example 3.12: First Movement of Rachmaninoff's Second Piano Concerto, mm. 339-353	63
Example 3.13: First Movement of Rachmaninoff's Second Piano Concerto, mm. 369-374	63
Example 3.14: Initial Statement of the Motto in the Second Movement of Rachmaninoff's Second Piano Concerto, mm. 1-9	65
Example 3.15: Second Movement of Rachmaninoff's Second Piano Concerto, mm. 13-24.....	68

Example 3.16: Fundamental Structural Analysis of Rachmaninoff's Second Piano Concerto, the Second Movement, mm. 47-71	69
Example 3.17: Second Movement of Rachmaninoff's Second Piano Concerto, mm. 124-127....	71
Example 3.18: Fundamental Structural Analysis of Rachmaninoff's Second Piano Concerto, the Second Movement, mm. 148-162	72
Example 3.19: Motto in the Piano Introduction, the Finale of Rachmaninoff's Second Piano Concerto, mm.21-43	75
Example 3.20: Motto in the Primary Theme in Rachmaninoff's Finale, mm. 43-51	76
Example 3.21: Transposed Motto in Rachmaninoff's Finale, mm. 75-82.....	77
Example 3.22: Motto in the Second Theme, Rachmaninoff's Finale, mm. 122-129	78
Example 3.23: Motto and its Transposed Form in Rachmaninoff's Finale, mm. 137-149	78
Example 3.24: Transposed motto in mm. 178-187, Rachmaninoff's Finale	80
Example 3.25: Transformed Motto in mm. 188-200, Rachmaninoff's Finale	81
Example 3.26: False Return of the Primary Theme in mm. 284-291, Rachmaninoff's Finale	83
Example 3.27: False Return of V, but VII of A Major in mm. 358-376, Rachmaninoff's Finale..	84
Example 3.28: Major Form of the Motto in mm. 457-466, Rachmaninoff's Finale	86
Example 3.29: First Movement of Rachmaninoff's Second Piano Concerto, mm. 35-58	88
Example 3.30: First Movement of Rachmaninoff's Second Piano Concerto, mm. 13-15	88
Example 3.31: First Movement of Rachmaninoff's Second Piano Concerto, mm. 103-116	89
Example 3.32: Second Movement of Rachmaninoff's Second Piano Concerto, mm. 19-23	90
Example 3.33: Second Movement of Rachmaninoff's Second Piano Concerto, mm.137-139	91
Example 3.34: Finale of Rachmaninoff's Second Piano Concerto, mm. 75-90	92

CHAPTER 1

INTRODUCTION

1.1 Rachmaninoff's Piano Concerto No. 2

Sergei Rachmaninoff's Piano Concerto no. 2 is one of the most frequently performed and beloved works. It is ironic that, however, despite its great popularity, there are not many in-depth studies of this concerto, offering pianists few opportunities to examine the work from an analytical perspective. Due to its thick and complicated texture, the interpretation of which poses considerable challenges, a detailed analysis will be beneficial for performers in terms of their musical development. Furthermore, a study of the Henselt Piano Concerto, which served as a compositional model, will enhance our understanding of Rachmaninoff's masterwork. There is evidence, both external and internal, that Rachmaninoff's piano concertos and other pieces, especially his early Preludes, reflect the strong influence of Adolf von Henselt (1814-1889). While von Henselt's importance for Russian music has been generally recognized, his impact, especially upon Rachmaninoff, has received insufficient attention in the scholarly literature. Not until the twentieth century did scholars begin to acknowledge his great contribution to the development of Russian music, including that of Rachmaninoff, especially with regard to shaping piano figuration and extending certain harmonic procedures.¹ In 1846, his Piano Concerto Op. 16 in F minor was published, inspiring a number of composers, such as Balakirev, Lyapunov, along with Rachmaninoff.² It has recently been noted that Rachmaninoff derived several features from Henselt's F minor Piano Concerto, in addition to the style of piano writing. Furthermore, it should be noted that Rachmaninoff's famous Prelude in C-sharp minor Op. 3 No.

¹ Richard B. Davis, "Henselt and the Russian Piano Music of his time 1." *Musical Opinion* 138 (Oct 2014): 17.

² Jeremy Norris, *The Russian concerto: Volume 1 The Nineteenth Century* (Bloomington: Indiana University Press, 1994), 54-55.

2 is based on the same motto of $\hat{6}-\hat{5}-\hat{1}$ (A-G#-C in Rachmaninoff) as in Henselt's Concerto.³

Example 1.1 and 1.2 illustrate their connections associated with the motto at the beginning of each piece, following with detailed analysis in chapter 2 and 3.

Example 1.1: Rachmaninoff's Prelude Op. 3 No 2, mm. 1-7

Example 1.2: First Movement of Henselt's Piano Concerto Op. 16, mm.1-4

³ Steve Lindeman, "I Have but Given Proof that I Might Have Been a Composer: A Formal Analysis of Henselt's Concerto for Piano and Orchestra in F Minor, Op. 16." *Adolph Henselt und der musikkulturelle Dialog zwischen dem westlichen und östlichen Europa* 19 (2004): 229.

However, there is still a paucity of studies on Henselt and the Henselt-Rachmaninoff connection. Research on Henselt has been conducted by a number of scholars, who provide general information, but most do not delve into the music of both composers in depth. Wilhelm von Lenz offers general biographies and describes some of the characteristics of Henselt's music in his book, *The Great Piano Virtuosos of Our Time*.⁴ This author also delineates Henselt's compositional style, which developed from the "good old school" encompassing French salon-music along with German classicism. Lenz often mentions Weber and Chopin's works to compare them with Henselt's compositions. Additionally, Lenz highlights the great technical demands of Henselt's compositions, and describes his performances based on his own experience as an acquaintance. The "Henselt" section in this book helps us to understand his musical ideas and personal characteristics. Based on Bettina Walker's experiences, who was one of Henselt's pupils, Arne Steinberg also describes Henselt as a teacher, pianist and composer in his article on "Adolf von Henselt."⁵ Steinberg focuses on how Henselt wanted students to produce varied tone colors on the piano. Henselt's Etudes are often selected to illuminate his compositional style in his piano compositions as compared with those of Chopin. Steinberg also briefly mentions Henselt's profound influence on Russian music, especially his Piano Concerto in F minor, on Rachmaninoff's C-sharp minor Prelude, which supports my hypothesis.

Most recent research on Henselt is of more practical use to my study. In his article, " 'I Have but Given Proof that I Might Have Been a Composer: ' A Formal Analysis of Henselt's Concerto for Piano and Orchestra in F Minor, Op. 16,"⁶ Steve Lindeman presents a detailed formal analysis, comparing it to other concertos in double-exposition form. Specifically,

⁴ Wilhelm von Lenz, *The Great Piano Virtuosos of Our Time* (London: Regency Press, 1971).

⁵ Arne Steinberg, "Adolf von Henselt." *The piano quarterly* no.152 (1990-91): 43-9.

⁶ Lindeman, "I Have but Given Proof," 221-35.

Lindeman contextualizes the Henselt Concerto with reference to concertos by Mozart, Weber, Cramer, and Mendelssohn. He explains the harmonic and melodic relations between movements, analyzing musical materials of each of the themes, and the interval relations of all of the material in every single movement as well. Although Lindeman takes a different analytical approach, his study is a significant resource for my own because it is the only existing analysis of Henselt's Piano Concerto. Most recently, Richard Beattie Davis offers more details on his article, "Henselt and the Russian Piano Music of His Time," illustrated with some examples of Henselt's piano works, demonstrating technical aspects which influenced other Russian composers. Particularly, this article provides a relatively detailed account of the first and second movements of Henselt's Piano Concerto and its influences. This source gives a detailed outline of Henselt's Piano Concerto and asserts its broader influence on Russian music.

Since there are relatively plentiful resources on Rachmaninoff, my discussion of the Rachmaninoff bibliography focuses primarily on sources that engage with his Second Piano Concerto. While many resources provide general biographies, some address the Second Piano Concerto in at least one chapter. For example, *Sergei Rachmaninoff, a Lifetime in Music* by S. Bertensson comprises twenty three chapters treating the main events and compositions in chronological order.⁷ One of those chapters is devoted to the Second Piano Concerto, and delineates the concerto's compositional background by referring to letters from Rachmaninoff and his friends, acquaintances, family, etc. This account is a valuable resource for Rachmaninoff's thoughts on this concerto and the particular circumstances of its composition. Similarly, *Rachmaninoff* by Victor Seroff provides details of chronology and discusses musical

⁷ Sergei Bertensson, Jay Leyda, and Sophia Satina, *Sergei Rachmaninoff, a Lifetime in music* (Bloomington: Indiana University Press, 2001).

influences from contemporary musicians and teachers.⁸ Some information is more detailed and useful, such as the composer's comment on the C-sharp minor Prelude, which plays an important role in my study. Max Harrison's *Rachmaninoff: Life, Works, Recordings* is also similar to those sources, while most frequently offering evidence of musical relationships between Henselt and Rachmaninoff.⁹ The British composer and pianist Patrick Piggott introduces Rachmaninoff's orchestral music in his book *Rachmaninov Orchestral Music*.¹⁰ Its contents consist of a discussion of eight works for orchestra including the three symphonies, along with the four piano concertos and *Rhapsody on a Theme by Paganini, Op. 43*. This source provides useful information about historical performances, and the characteristics of individual movements illustrated with musical examples. In particular, by showing how certain motivic materials are derived from Rachmaninoff's other compositions, the book affords further insight into this work.

In addition to the published sources, several dissertations deal directly with the Second Piano Concerto. "An analysis of Rachmaninoff's Concerto No. 2 in C minor Opus 18: Aids towards Performance" by So-Ham K. Chung provides useful information concerning the wider context of nineteenth-century Russian music, Rachmaninoff, and his Second Piano Concerto.¹¹ Chapter III contains a detailed explanation of how the work flows, presenting fragmentary materials of each section of each movement, but does not analyze how these musical materials are organically related. Chung also suggests technical approaches for performance which in itself is beneficial for pianists, but she does not discuss the relationship between piano techniques and analysis. "A Study of Tyzen Hsiao's Piano Concerto, Op. 53: A Comparison with

⁸ Victor Seroff, *Rachmaninoff* (London: Cassell, 1951).

⁹ Max Harrison, *Rachmaninoff: Life, Works, Recordings* (London: Continuum, 2005).

¹⁰ Patrick Piggott, *Rachmaninov Orchestral Music* (Seattle: University of Washington Press, 1974).

¹¹ So-Ham K. Chung, "An analysis of Rachmaninoff's Concerto No. 2 in C minor Opus 18: Aids towards Performance" (DMA diss., The Ohio State University, 1988).

Rachmaninoff's Piano concerto No. 2" by Lin-Min Chang is one of the most recent studies of Rachmaninoff's Second Piano Concerto.¹² However, this thesis is focused on the Piano Concerto by Tyzen Hsiao, a Taiwanese composer, suggesting ways that Hsiao was influenced by Rachmaninoff. The third chapter compares the two compositions, and the author mainly deals with the musical aspects of orchestration, structure, phrasing, piano technique, dynamics, and harmony, providing musical examples. This study explores in detail certain characteristics of the two concertos, but is far removed from systematic musical analysis. "Rachmaninoff and Russian Pianism: Performance Issues in the Piano Concerto in C minor, Opus 18"¹³ by Natalya V. Lundtvedt, presents research on interpretive issues in the performance of the work. This thesis discusses ways to achieve textual fidelity and realize the composer's intentions by comparing Rachmaninoff's own recordings with the actual markings in the music. Also, the author compares other historical recordings – such as Moiseiwitsch's, Richter's, Cliburn's, and Ashkenazy's – with Rachmaninoff's to illuminate different interpretative possibilities. For performers, this study should be regarded as an important reference alongside analytical studies.

However, none of those sources offers an in-depth analysis of Henselt's Piano Concerto and Rachmaninoff's Second Piano Concerto. My study presents an analysis of both, and suggest ways in which Rachmaninoff's Second Piano Concerto developed from its precursors. More specifically, I argue that Rachmaninoff adopted Henselt's $\hat{6}-\hat{5}-\hat{1}$ motto from Henselt's concerto, which, in this piece in F minor is Db-C-F.

Exploring the $\hat{6}-\hat{5}-\hat{1}$ motto, which possibly has semantic significance in these concertos,

¹² Lin-Min Chang, "A Study of Tyzen Hsiao's Piano Concerto, Op. 53: A Comparison with Rachmaninoff's Piano Concerto No. 2" (DMA diss., The Ohio State University, 2018).

¹³ Natalya V. Lundtvedt, "Rachmaninoff and Russian Pianism: Performance Issues in the Piano Concerto in C minor, Opus 18" (DMA diss., University of California, Los Angeles, 2008).

is the kernel of the analysis to be presented here. Raymond Monelle states in his book regarding musical signification: “A grasp of signification enables us to find meaningful items in this [infinitely ramified] continuum and thus to begin the process of analysis. Analysis engages with signifier and signified together, and thus reveals musical *text*, which is a great deal more than merely the score.”¹⁴ Concerning the possible meaning of the ♭-5-♮ motto, I consider the repetition of the motto to be an emblem “inexorable destiny”—a hero or heroine can struggle against his or her destiny to try to change its course, but ultimately must yield to its will. The motto recurs throughout, either obviously or latently, reflecting the unfolding of destiny.

For the detailed analysis of the music, I adopt a Schenkerian approach to show how this motto operates at all levels – background, middleground, and foreground. The analytical sketches elucidate melody, harmony, and form, examining musical relationships at different structural levels, so that readers can grasp and compare both concertos aurally and visually.

In addition to facilitating deeper insight into Rachmaninoff’s Second Piano Concerto, I expect my project to cast light on the forgotten composer Adolf von Henselt’s Piano Concerto in F minor, and demonstrate its influence on Rachmaninoff’s masterpiece.

1.2 Use of the ♭-5-♮ Motto by Other Composers

1.2.1 Brahms’ Clarinet Sonata Op. 120 No. 1 in F minor

Since Henselt grew up in the German tradition and moved to Russia, where he had a significant influence, there is considerable overlap between the two traditions. Henselt’s use of motto becomes one of the connections between German and Russian composers throughout the nineteenth and twentieth centuries. Given the possibility that the ♭-5-♮ motto first appeared in

¹⁴ Raymond Monelle, *The Sense of Music : Semiotic Essays*, (Princeton: Princeton University Press, 2000), 11.

the German tradition, and then migrated to Russia, it is noteworthy that it plays a prominent role in Brahms' Clarinet Sonata Op. 120 No. 1 in F minor.

The first movement of Brahms' Clarinet Sonata in F minor is composed in traditional sonata-allegro form based on three mottos. In the first five measures, Brahms projects the chromatic motto, C-Gb-F ($\hat{5}-b\hat{2}-\hat{1}$), with the tritone C-Gb being much emphasized (see example 1.3). This initial chromatic motto is contrasted with the second diatonic motto, F-G-C or $\hat{1}-\hat{2}-\hat{5}$ (mm. 5-12), which "corrects" or "heals" the tritone. While these two mottos occur in the bass line, the $\hat{6}-\hat{5}-\hat{1}$ motto is projected by the inner voices in mm. 3-5. Once Db moves to C ($\hat{6}-\hat{5}$) in m. 3, the $\hat{6}$ (Db) resolves back to $\hat{5}$ (C) over F ($\hat{1}$) in m. 5. Thus, there are three motto-like motivic figures are presented at the beginning of the piece and will recur in multiple guises throughout the movement.

Depending on the meaning of the bass F in m. 136, there are two possibilities for where the tonic returns: either in m. 138 or later in m. 192. Figure 1.1 provides a sketch showing the later return of the tonic (m. 192), and example 1.4 presents a more detailed view. One can argue that the Bb major chord in m. 140 is given considerable weight – more than the F minor chord in mm. 136-138 – in order to suggest that the C#=Db (m. 116) in the development and Bb in m. 140 are double neighbors, respectably upper and lower, around the prolonged C (V). In such a reading, the dominant (C) would be prolonged all the way from m. 72 at the end of the exposition, through the entire development, and deep into the recapitulation. Thus, the upper neighbor note C#=Db in m. 116 is $\hat{6}$, and the bass line expresses the $\hat{6}-\hat{5}-\hat{1}$ motto within the harmonic plan, VI-V-I.

Example 1.3: Initial Three Mottos in Brahms' Clarinet Sonata Op. 120 No. 1

Johannes Brahms, Op. 120 Nr. 1
(Veröffentlicht 1896)

Allegro appassionato

Klarinette in B

Pianoforte

poco f

p

Fm: I⁵⁻⁶

Fm: 5

Fm: 3

2

6

1

4

6

10

14

17

C

Gb

F

F

G#

C

V/V

V

Example 1.4: Possible Reading in accordance with Prolonging V, the First Movement of Brahms' Clarinet Sonata Op. 120 No. 1

The image displays a musical score for the first movement of Brahms' Clarinet Sonata Op. 120 No. 1, specifically measures 116 through 144. The score is written for a clarinet (treble clef) and piano (bass clef). The key signature is E major (three sharps). The tempo/mood is marked *ben marc.* (very marked). The score is divided into two systems. The first system covers measures 116 to 128, and the second system covers measures 130 to 144. The piano part features a prominent, sustained harmonic structure. Annotations include:

- Measure 116: A bracket labeled "from C (V)" points to the piano accompaniment.
- Measure 117: A box contains the text "C# = Db (U.N)".
- Measure 130: A bracket labeled "F#" spans the first two measures of the second system.
- Measure 135: A bracket labeled "Eb" spans measures 135 and 136.
- Measure 136: A bracket labeled "Db" spans measures 136 and 137.
- Measure 137: A bracket labeled "5" spans measures 137 and 138.
- Measure 140: A bracket labeled "Bb (L.N)" spans measures 140 and 141.
- Measure 144: A bracket labeled "V" spans measures 144 and 145.

 The piano part consists of a series of chords and arpeggiated figures, while the clarinet part features a melodic line with various ornaments and trills. The overall structure suggests a harmonic progression from C major to E major, with various chromatic alterations and prolongations of the dominant (V) chord.

Figure 1.1: Middleground Sketch of Brahms' Clarinet Sonata Op. 120, the First Movement, Later Return of the Tonic

The musical sketch shows the first movement of Brahms' Clarinet Sonata Op. 120. It is divided into three main sections: Exposition (Expo.), Development (Dev.), and Recapitulation (Recap.). The key signature is F major (Fm: I). The sketch shows a chromatic motto C-F# (Gb)-F expanded over the development section. The bass line shows a 6-5 resolution over the F in the bass, which deflects the tonic arrival. The sketch also shows the VI b3 (VI b3 C# = Db) and the C# = Db (C# = Db) and the C# = Db (C# = Db) and the C# = Db (C# = Db). The sketch is annotated with measures 53, 77, 93, 100, 115, 135, 136, 140, 144, 145, 153, 167, 169, and 192. The sketch is annotated with Fm: I, V/V, V, VI b3, C# = Db, C# = Db, and F I.

Another alternative interpretation is also possible: one can regard the bass F (m. 136) as representing the tonic return, although the 6-5 resolution over the F in the bass deflects the tonic arrival. Example 1.5 provides a reading in this way, showing that $\hat{6}-\hat{5}$ over bass F recreates the motto in mm. 136-138. On a much larger scale, Brahms composes out C-D (Ebb)-Db-C ($\hat{5}-\hat{6}-b\hat{6}-\hat{5}$) occurring over the development and the beginning of the recapitulation as presented in figure 1.2. The graph also shows how the chromatic motto C-F# (Gb)-F is expanded over the course of the development section. This chromatic motto, then, is corrected through mm. 136-145 (see example 1.5) to F-G-C. In this interpretation, the bass Bb (m. 140) is not much emphasized.

Regardless of which reading is preferred, the $\hat{6}-\hat{5}-\hat{1}$ motto is the most prominent. In the interpretation with the delayed return to the tonic, the $\hat{6}-\hat{5}-\hat{1}$ motto becomes the large-scale harmonic progression (VI-V-I). The reading with the earlier return of the tonic projects the same motto when I^6 resolves to I at the beginning of the recapitulation.

Example 1.5: Possible Reading in accordance with the Earlier Return of the Tonic, the First Movement of Brahms' Clarinet Sonata, Op. 120 No. 1

The image displays a musical score for the first movement of Brahms' Clarinet Sonata, Op. 120 No. 1, specifically measures 116 through 144. The score is presented in two systems, each with a treble and bass staff. The key signature is E major (three sharps). The tempo/mood is marked *f marc.* (forte, marcato). The score includes various musical notations such as notes, rests, and dynamic markings.

Annotations and harmonic analysis are provided below the staves:

- Measure 116:** Labeled "from C (V)".
- Measure 120:** Labeled "U.N of C (V)".
- Measure 124:** Labeled "C#" and "F#".
- Measure 128:** Labeled "E#".
- Measure 130:** Labeled "F# (Gb)".
- Measure 135:** Labeled "E#".
- Measure 140:** Labeled "D#".
- Measure 144:** Labeled "Db".
- Measure 148:** Labeled "5".
- Measure 152:** Labeled "F# (Gb)".
- Measure 156:** Labeled "F#".
- Measure 160:** Labeled "I⁶".
- Measure 164:** Labeled "5".
- Measure 168:** Labeled "G".
- Measure 172:** Labeled "C".
- Measure 176:** Labeled "V".

Red circles highlight specific notes in measures 135, 140, and 144. A red line connects the note in measure 135 to the note in measure 140. A red line connects the note in measure 140 to the note in measure 144. A red line connects the note in measure 144 to the note in measure 148.

Figure 1.2: Background Sketch of Brahms' Clarinet Sonata Op. 120, the First Movement., Earlier Return of the Tonic

1.2.2 Chopin's Mazurka Op. 63 No. 3 in C-sharp minor

One of Chopin's Mazurkas, Op. 63, No. 3, in C-sharp minor, may also have been source for both Henselt and Rachmaninoff. Chopin employs the $\hat{3}-\hat{6}-\hat{5}-\hat{1}$ motto, a form that may be abbreviated to become the $\hat{6}-\hat{5}-\hat{1}$ motto. Within a ternary design, the motto, E-A-G#-C#, stated at the beginning, is recomposed in enlargement across section A (mm. 1-32). Section B exposes the motto in a perverted form, developing through the modulation that is discussed below.

Example 1.6 presents a structural analysis of Mazurka Op. 63 No. 3. As shown in the example, the first four-notes state the motto, E-A-G#-C#. Once the melodic line ascends to the primary tone, $\hat{3}$ (E), the motto reappears in more expanded, descending figuration through mm. 4-8. The bass also restates the motto in different forms. E-D#-G#-C# in the bass in mm. 5-8 is a transformation of the motto, which places the $\hat{6}-\hat{5}-\hat{1}$ form (E-D#-G#) at the "head" of the gesture, whereas the initial motto places it (A-G#-C#) later. Plus, the harmonic progression, which moves from the tonic to E major (III), further transforms to motto $\hat{6}-\hat{5}-\hat{1}$ to become the bass notes (C#-B-E) in mm. 8-16. As soon as arriving on III, the bass E in m. 16 initiates an enlargement of the motto by moving to the A in m. 30; this E-A functions as an expansion of the initial fourth of the motto.

Example 1.6: Fundamental Analysis of Chopin's Mazurka Op. 63 No. 3

The image displays a musical score for Chopin's Mazurka Op. 63 No. 3, featuring a fundamental harmonic analysis. The score is divided into two systems, each with a treble and bass staff. The key signature is C#m (one sharp) and the time signature is 3/4. The tempo is marked *Allegretto*.

First System (Measures 1-17):

- Measures 1-4: Labeled *E-A-G#-C#* and *Allegretto*. A red box highlights the first four measures.
- Measures 5-11: Labeled *C#m: 3* (3/4 time signature) and *dolce*. A red circle highlights measure 5.
- Measures 12-17: Labeled *G#* and *mf*. A red circle highlights measure 17.

Second System (Measures 21-41):

- Measures 21-30: Labeled *G#* and *cresc.*. A red circle highlights measure 26.
- Measures 31-34: Labeled *dim.* and *p*. A red circle highlights measure 31.
- B section (Measures 35-41):** Labeled *sotto voce* and *pppp cresc.*. A red circle highlights measure 35.

Harmonic Analysis (Roman Numerals and Chords):

- Measures 1-4: *C#m: I*
- Measures 5-11: *E*, *D#*, *G#*, *C#*, *V*, *I*
- Measures 12-17: *C#*, *B*, *E*, *III*, *E*
- Measures 21-30: *D#*, *G#*, *C#*, *(L.T to A)*, *VI*, *V*, *I*
- Measures 31-34: *D#*, *C# = Db*, *V/Db*
- Measures 35-41: *V/GbM (IV#)*, *GbM: 3*

Returning A' section

42 45 49 53 58

cresc. *len.* *poco f* *dim.* *p* *cresc.*

IV# III VI V I

Bb=A# Eb A G# C#

(inner voice)

63 67 70 75

f *p* *cresc.* *(m.d.)*

V VI V I

(2) 1

It is important to recognize that the bass G# in m. 24 does not function as the dominant, but rather as III of the preceding E major; in other words, this G#, as the “upper third” of E, becomes a leading-tone chord to the augmented sixth on A in m. 30. Thus, the real dominant is achieved only in m. 31. In this ingenious way, Chopin composes the motto out in enlargement in the bass; E (m. 16) – A (m. 30) – G# (m. 31) – C# (m. 32). In the meanwhile, Chopin embeds the transformed form, E-D#-G#-C#, which had appeared in m. 5-8, within a larger span in mm. 16-28.

With regard to the structural connection between the A and B sections, the Gb major chord in m. 44 is much more important than it might initially seem. Although Chopin employs the Db major key signature, and the Gb major chord is brief, the Db major chord functions as the dominant of Gb major, which is the goal in the B section. This Gb major is enharmonically equivalent to F# major, IV with a raised third in C# minor, or IV#3. Then, the F# (Gb) major chord leads to the augmented sixth chord built on A-natural in m. 49, since this A-natural bass functions as the “lowered upper third” of the Gb=F# in m. 44. At this point, a doubly chromatic voice exchange occurs such that the Gb (F#) in the bass in m. 44 becomes the F double-sharp (G) in m. 49 in the upper voice, and the Bb (A#) in the upper voice in m. 44 becomes the A-natural in the bass in m. 49. In this way, the motto becomes chromatically - and tragically - perverted as in a nightmare whereby the perfect fourth at the beginning of the motto (E-A-G#-C#) is deformed to become the tritone, Bb (A#)-E-A-G#-C#.

Chopin’s motto consists of two descending fifths a semitone apart, whereby, in the middle section, the initial fifth is dramatically – and tragically - transformed to a tritone. This four-note motive is very close to the motto employed by Henselt and Rachmaninoff. While these

later composers preserve the tragic connotations of the motto, they also transform it in different ways in their own music.

CHAPTER 2

HENSELT AND HENSELT'S PIANO CONCERTO, OP. 16

Henselt was a virtuosic pianist famous for his unique touch at the piano. Schumann admired his piano playing, saying that “He who has once heard Henselt, can never forget his playing.”¹⁵ “Henselt’s playing” is known for its “full-toned *pianissimo*” – Henselt always emphasized making the fully resonating sound even when playing *piano* or *pianissimo*. One of his students Laura Kahrer, explains that one should practice all passages with a full tone, but only at the moment of the performance, play with softer sound so that the *pianissimo* does not sound toneless in a large concert hall.¹⁶

Although Henselt devoted much effort to his performances, he rather wanted to be remembered as a composer. In his style of piano writing, it is possible to detect the influence of Chopin and Liszt.¹⁷ The singing style of melody and accompaniment is often compared to Chopin, and the virtuosic piano techniques to Liszt. However, Henselt’s musical personality and idiom are rooted in German folksong, and he developed these German characteristics in his compositions to forge a style of mature German romanticism.¹⁸ Henselt explored every technical possibility at the piano through the polyphony, and different hand positions and extensions to express his vivid musical imagination at the piano.¹⁹

In 1838, Henselt’s first performance in Russia was an unprecedented success. His individual style of performance would become greatly influential in Russia, and resulted in his

¹⁵ Robert Schumann and Fanny Raymond Ritter, *Music and musicians. Essays and criticisms* (London: Reeves, 1880), 325-26.

¹⁶ Arne Steinberg, “Adolf von Henselt.” *The piano quarterly* no.152 (1990-91): 43.

¹⁷ Wilhelm von Lenz, *The Great Piano Virtuosos of Our Time* (London: Regency Press, 1971), 72.

¹⁸ Richard B. Davis, “Henselt and the Russian Piano Music of his time 1.” *Musical Opinion* 138 (Oct 2014): 18.

¹⁹ Lenz, 77.

appointment as the Empress's Court pianist.²⁰ Nevertheless, Henselt was rarely willing to appear in public and never satisfied with his achievement because of his modest and introverted personality.²¹ Rather, he concentrated more on teaching and composition – the Piano Concerto in F minor was composed during this period. His works composed at this time contributed significantly to the stylistic development of Russian piano composers in their shaping of piano figurations, especially arpeggios, and extensions of certain harmonic progressions.²² Henselt's etudes in particular influenced Balakirev, Rimsky-Korsakov, and Arensky, enabling them to enrich Russian piano music by absorbing piano techniques from western romanticism.²³

The Piano Concerto Op. 16 in F minor was composed during Henselt's period at the Russian Court and published by Breitkopf & Härtel in 1846-1847. One of Henselt's contemporaries, Liszt, admired its second movement as "The wonderful Larghetto" and "ever more and more beautiful"; although it is technically demanding, some of Liszt's students played this work as did Clara Schumann.²⁴ At the time, this concerto was highly influential. The extravagant style of the piano composition integrated all the techniques of nineteenth-century European piano writing. On the other hand, since the structure is projected within the framework of a classical concerto in the manner of early Beethoven and Hummel – employing the traditional three movements (fast-slow-fast) and the straightforward compositional design of sonata-allegro form – the piece became a classical western-inspired model for Russian composers.²⁵ Rachmaninoff was directly inspired by the middle section of the second

²⁰ Lenz, 9.

²¹ Ibid., 73-74.

²² Davis, 17-18.

²³ Ibid., 20.

²⁴ Steinberg, 47.

²⁵ Davis, 21.

movement, closely copying it in his Prelude in C# minor in the same key and alternating the melodic line in deep bass with the higher top melody in massive chords.²⁶ A detailed comparison is presented in chapter 3.

2.1 *Allegro patetico*

Let us now turn to a more detailed consideration of Henselt's Piano Concerto Op. 16 in F minor, which consists of three movements in traditional demarcation, fast-slow-fast.²⁷ The first movement features a sonata-allegro design with a double exposition. Table 2.1 gives an outline of the formal structure.

Table 2.1: Outline of the First Movement of Henselt's Piano Concerto

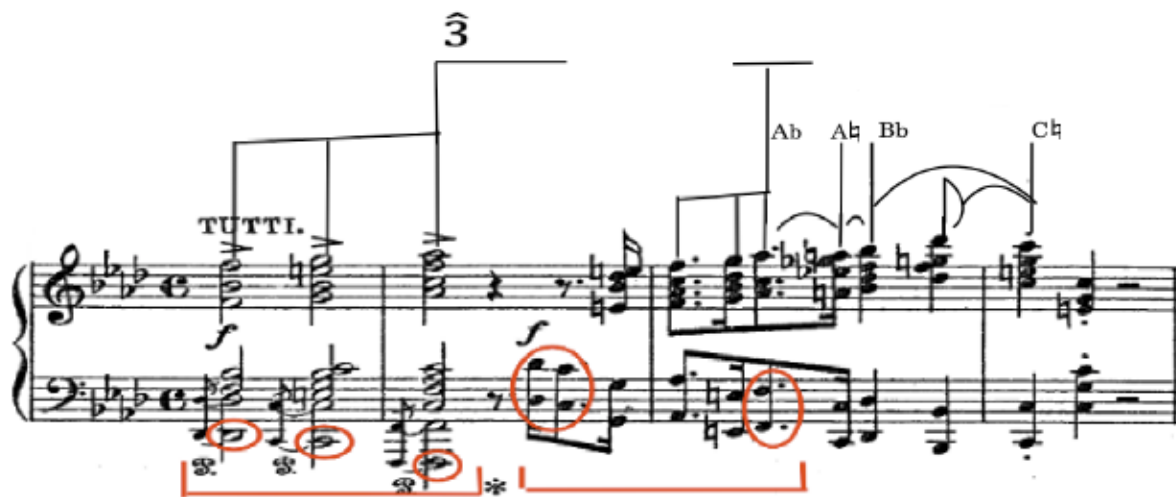
Exposition		Development		Recapitulation	
Orchestral Exposition		<i>Religioso</i> (C major)	170-233	Primary Theme (F Minor)	250-269
Primary Theme (F Minor)	1-21	Transition	233-249	Transition	270-283
Transition	22-31			Second Theme (F Major)	284-307
Second Theme (Ab Major)	32-50			Coda (F Minor)	308-334
Retransition	50-61			Tutti (F Major)	335-340
Solo Exposition					
Primary Theme (F Minor)	62-88				
Transition	89-106				
Second Theme (Ab Major)	107-126				
Transition					
Second Theme (C Minor)	134-137				
Second Theme (F Minor)	139-143				
Primary Theme (Fm, Ab, Cm)	144-152				
Second Theme (G Major)	153-169				

²⁶ Steinberg, 48.

²⁷ Lindeman, "I Have but Given Proof," 228.

The concerto begins with a proclamation of the motto, $\hat{6}-\hat{5}-\hat{1}$. The red brackets in example 2.1 call attention to the motto and its restatement in the bass through the initial measures; indeed, this three-note motto will dominate whole concerto. Also, the example shows the upper voice ascent (*Anstieg*) to the primary tone ($\hat{3}$) of the fundamental line.

Example 2.1: Initial Statement of the Motto in the First Movement of Henselt's Piano Concerto, mm. 1-4



The initial three-note motto, Db-C-F, develops through the movement. Figure 2.1 presents its reappearance in a middleground sketch of mm. 1-32. While this passage is just the beginning of the movement, the motto persistently recurs in the bass and the upper voices (see the red square brackets in the sketch). Within the bass progression, one can observe how Db ($\hat{6}$), functioning as the bass of IV6 harmonies, occurs within voice exchanges with its root, Bb, which serves as the pre-dominant to C in some phrases. For example, the Db in m. 20 supports IV₅⁶ within the pre-dominant area concluding the primary theme. When the motto appears in the upper voice, Db ($\hat{6}$) functions as the upper neighbor note to C ($\hat{5}$), which is maintained as the primary tone. In this way, the motto is projected by both the bass and upper voices, moving towards F to close phrases.

Figure 2.1: Middleground Sketch of Henselt Piano Concerto, the First Movement, mm. 1-32

In the transition area in mm. 22-31, the C ($\hat{5}$) in the upper voice in F minor transforms its tonal meaning to become $\hat{3}$ in Ab major m. 26 (see figure 2.1 above), in the move to the second theme area. While the upper voice steps down to $\hat{1}$ in Ab major, the bass arpeggiates through a series of rising thirds to fill in an ascending seventh from F to Eb (mm. 22-27), which becomes the V of Ab major. In the modulation from F minor to Ab major, the motto in the bass progression also transforms from $\hat{6}-\hat{5}-\hat{1}$ or Db-C-F in the minor mode into Eb-F-Ab in the major mode. In other words, F ($\hat{1}$ in F minor) becomes $\hat{6}$ in Ab major in m. 22, then reaches Eb (V of Ab major) in m. 27, projecting F-Eb-Ab.

Example 2.2 and figure 2.2 present an annotated score and sketch of the beginning of the second theme area. As soon as the first phrase ends on a half cadence in m. 39 (see figure 2.2), a Cb major chord (bIII/Ab) marked *pp* suddenly follows in m. 40. However, subsequent events, especially the bass progression Bb to Eb in m. 43, reveal that this Cb also plays a role as bVI of Eb major. In this way, the bass line Cb-Bb-Eb, or bVI-V-I, can be heard as a transposition of the motto to the key of Eb major, which is the V of the local key of Ab major.

Example 2.2: Beginning of the Second theme in the First Movement of Henselt's Piano Concerto, mm. 30-43

Figure 2.2: Middleground sketch of Henselt's Piano Concerto, the First Movement, the Second Theme

It is important – indeed essential – to observe that, although the second theme appears in Ab major lasting eighteen measures (mm. 32-49, see example 2.2), the Ab chord does not project III as a structural harmony. Rather, this Ab chord occurs at a later structural level prolonging I as

its “upper third” such that the true harmonic goal becomes the IV_5^6 in m. 49 (see figure 2.3 for the structural harmony of the orchestral exposition). This structural devaluation of the Ab chord, albeit supporting the second theme, enables the Db in the bass in m. 49 to be heard as the real goal, functioning as a predominant. Thus, examining its bass line, it conforms to the motto by moving from the Db-bass of IV_5^6 (m. 49) to C as the root of V (m. 50), and F as I (m. 52). In other words, the bass here proclaims an enlargement of the motto presented in the initial measures.

Figure 2.3: Background Sketch of Henselt Piano Concerto, the First Movement, mm.1-52



The solo exposition proceeds in a similar way as the orchestral exposition; namely, the second theme in Ab major does not function as a structural harmony. However, whereas the former Ab major simply prolonged F minor as its upper third, this time the Ab chord carries more weight in the solo exposition. As indicated in figure 2.4, the Ab chord in m. 107 is followed by a G major chord in m. 126, serving as an upper-neighbor chord to G. This G major chord, in turn, sustains for a while as a secondary dominant, resolving to the dominant C minor in m. 134, where the development begins. At this point, the bass line, Ab-G-C, transposes the motto to the dominant, projecting Ab in the bass in the solo exposition as the initial note of the motto. In the same passage, the top voice moves with its bass line in parallel fifths in order to generate yet another transposition of the motto (Eb-D-G).

Example 2.3: Transpositions of the Motto in the First movement of Henselt's Piano Concerto, mm. 129-143

Eb-D -

129

133

Ab

G

C

to F (m. 139)

136

139

F

Henselt embeds a further instance of $\hat{6}-\hat{5}-\hat{1}$ near the beginning of the transition (mm. 126-134). As the G chord resolves to C minor (mm. 126-134), D-natural in the G chord (m. 126) leads to the C in the bass of the C minor chord (m. 134) at the beginning of the transition. The thematic development in this section continues with its sequential transposition down a fifth, in F minor in m. 139. Example 2.3 provides a detailed process, and figures 2.4 and 2.5 show the bass moving from C (m. 134) to F (m. 139). In this way, the D-natural in the top voice in m. 126, combined with the descending fifth C-F in mm. 134-139, projects D-C-F, the motto transposed to the F major mode, and overlapping with Eb-D-G and Ab-G-C.

Figure 2.4: Background Sketch of Henselt's Piano Concerto, the First Movement, mm. 62-134

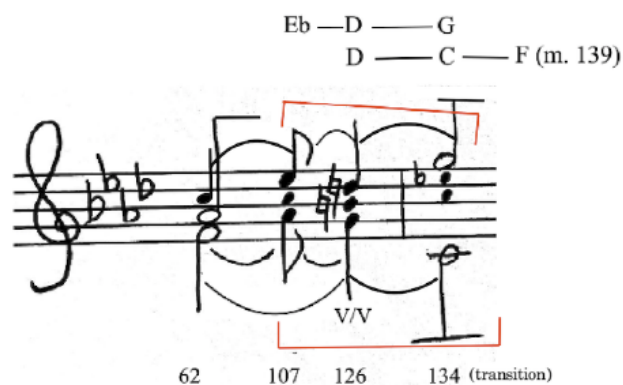
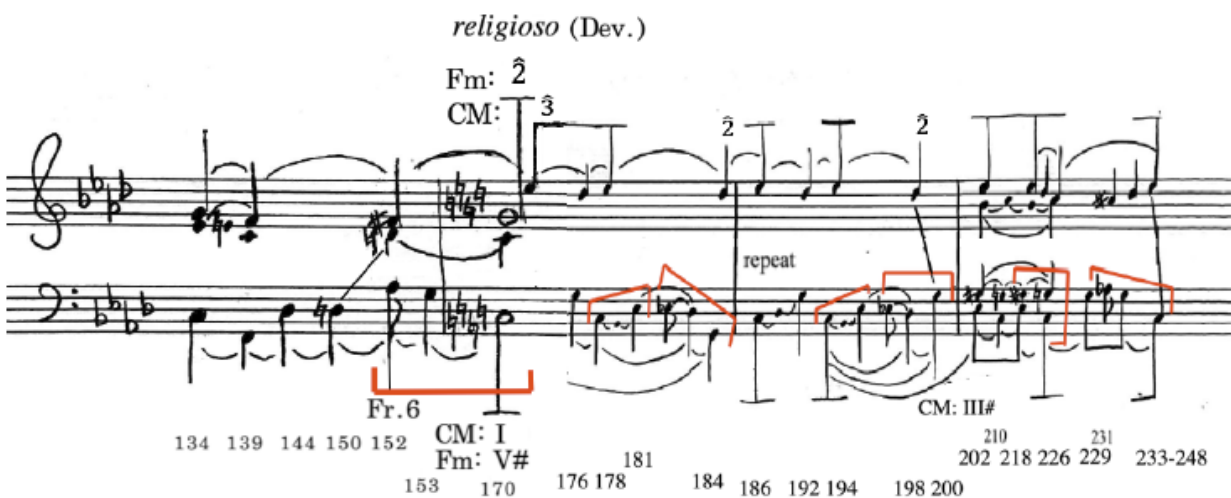


Figure 2.5: Development of Henselt's Piano Concerto, the First Movement, mm. 134-248

(a) Middleground sketch



(b) Background Sketch

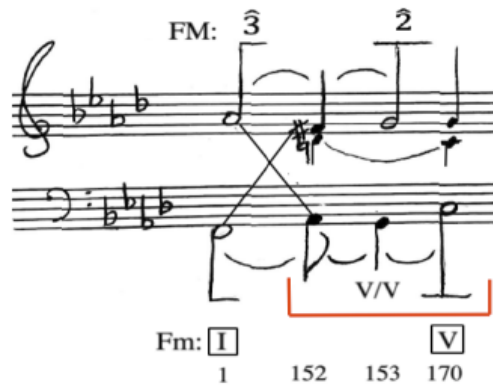


Figure 2.5 presents a sketch of the development. Contrary to the conventional opening of the double exposition, Henselt omits the concluding tutti expected at the end of the second exposition, which generally occurred prior to the development.²⁸ As mentioned earlier, the development begins on V, in C minor, and the key of C minor persists until m. 168. In this initial part of the development, the bass projects rising thirds F-Ab-C (mm. 139-149) articulating successive statements of the $\hat{6}-\hat{5}-\hat{1}$ motto. This motivic sequence is discussed later in more detail in conjunction with example 2.6. Although there are consecutive appearances of the motto within mm. 134-149 (example 2.7), the most important statement begins on the Ab-bass in m. 152, which functions as a predominant in a local key of C minor. With the strong arrival on the C-bass in m. 170, we hear the motto, Ab-G-C, as noted in figure 2.5.

In the development, Henselt inserted a totally new and unexpected section, the *Religioso*, beginning at m. 170 in the key of C major. In this C major section, the preceding minor-mode statement of the motto (Ab-G-C) is transformed into G-A-C in the melodic line in the major mode. Example 2.4 shows its presentation by the piano and orchestra. Also, harmonic progressions generate the original minor-mode $\hat{6}-\hat{5}-\hat{1}$ motto in the bass over the course of mm.

²⁸ Lindeman, "I Have but Given Proof," 231.

178-184 (see figure 2.5). In mm. 178-181 the bass articulates C-B-E to arrive on III, E minor. The next statement in mm. 181-184 should be more stressed; here, Eb reappears, supporting the augmented 6th chord, which leads to D-bass (V/V in C major), then finally concludes on a half cadence, to produce the motto as Eb-D-G. From m. 202, there is a sudden move to E major (III#3 of C major), with G# as its third. This G# then becomes $\hat{6}$ within the $\hat{6}-\hat{5}-\hat{1}$ motto when the G# resolves as if it were Ab to G-natural in the C chord in m. 210 and 226. The development concludes with a long dominant pedal on C, preceded by the Ab-G-C (mm. 231-233), paralleling mm.152-170.

Example 2.4: *Religioso* in the First Movement of Henselt Piano Concerto, mm. 186-193

The image shows a musical score for measures 186-193. The time signature is 3/4, and the key signature is C major (CM). The score includes piano (piano) and voice parts. Red circles highlight specific notes in the piano part, and red letters G, A, and C mark measure groups. A bracket at the bottom indicates the Fm: V and CM: I sections.

The recapitulation is characterized by even more brilliant figurations in the piano. This time, the second theme appears in parallel key, in F major. As shown in figure 2.6, the voice leading of the upper-voice manifests the motto in mode (Db-C-F) from m. 269 until it reaches the second theme in m. 284; then, it is as if the original upper neighbor-note (Db) is “interrupted” by D-natural in m. 270 above B-natural in the bass. The same thing happens in mm. 81-89 as is

discussed shortly. At the end of the movement, it is noteworthy that the solo piano concludes the movement by ending on a strong Db ($\hat{6}$) in m. 335, which leads to C in the orchestral part, reemphasizing the motto (see example 2.5). By canceling the Ab with A natural, the movement ends in F major with a triumphant fanfare.

Figure 2.6: Background Sketch of Henselt's Piano Concerto, the First Movement, the Recapitulation

Example 2.5: End of the First Movement of Henselt's Piano Concerto, mm. 334-340

Following examples are selective foreground-level sketches representing Henselt's style of piano writing. In example 2.6, there are drastic changes of piano figuration in which the notes

become progressively faster as they are subdivided through eighth notes to sextuplets, contrasting with the singing style of the primary theme. The broken chord arpeggios with fast moving figuration in mm. 84-86 is one of the characteristic features of Henselt's piano writing.²⁹ This example also shows how the motto is embedded within the figuration. In mm. 77-79, in the primary theme area, the original motto is presented by the right-hand melody and transposed in mm. 80-81. Each time, the melodic line ascends to $\hat{6}$ of each motive, then descends to $\hat{1}$. After this, as shown in figure 2.6 (mm. 269-283), the motto is enlarged in mm. 81-89. Here, the Db in m. 81 seems to function as the upper neighbor of C ($\hat{5}$). However, as this Db shifts to D-natural in following measure, it turns out that the Db is reinterpreted as the lower neighbor of D-natural, and the motto transformed into the major mode. Contrasting with the Db, stated in the top melody, D-natural is embedded in the inner voice of the piano as a harmonic component of the diminished seventh chord over B natural. The performer should consider how to underscore the contrast between Db and D natural as well as the prolongation of C ($\hat{5}$) in the brilliant figurations in mm. 82-88.

Example 2.7 shows the beginning of the transition, which begins on the dominant (V). The piano part of the whole section is written employing Henselt's characteristic arpeggios. Meanwhile, the motto appears consecutively in the bass of the piano part as marked in the example. The F minor chord in m. 139 functions as the subdominant of C minor (V). When the bass arpeggiates the F minor triad in m. 145, the original motto (Db-C-F) is strongly emphasized yet again and then transposed up by thirds as shown in the example.

²⁹ Davis, "Henselt and the Russian Piano Music of his Time 1." 21.

Example 2.6: Fundamental Structure of the First Movement of Henselt's Piano Concerto, mm. 76-89

The image displays a handwritten musical score for measures 76 through 89 of the first movement of Henselt's Piano Concerto. The score is written on multiple staves, including piano and violin parts. Key features include:

- Measure 76:** The piano part begins with a series of chords, some of which are circled in red. The violin part has a melodic line with a red circle around a note.
- Measure 80:** A large bracket spans across measures 76 to 80, with the Roman numeral **IV** written below it.
- Measure 83:** A new section begins, marked with a bracket and the Roman numeral **I** below it.
- Measure 85:** A bracket spans measures 83 to 85, with the Roman numeral **IV** written below it.
- Measure 89:** The score ends with a bracket and the Roman numeral **I** below it.
- Annotations:** Various handwritten notes and symbols are present, including "sempre f a legato" and "molto".
- Fingerings:** Numbers 1 through 5 are written above or below notes to indicate fingerings.
- Chords:** Some chords are labeled with Roman numerals, such as **IV** and **I**.

Example 2.7: Fundamental Structure of the First Movement of Henselt's Piano Concerto, mm. 134-149

The image displays a handwritten musical score for the first movement of Henselt's Piano Concerto, measures 134-149. The score is written on two systems of staves. The first system covers measures 134 to 142, and the second system covers measures 144 to 149. The key signature is C minor (Cm: 3 flats), and the time signature is 3/4. The score is annotated with Roman numerals (I, IV, VI) and circled notes (Eb, D, G, Ab, G, C, Db, C, F, Fb, Eb, Ab, G, C) to indicate the fundamental structure. The notes are circled in red and connected by lines, showing a sequence of chords or intervals. The Roman numerals are placed below the staves, indicating the harmonic progression. The score is written in a clear, legible hand, with the notes and markings clearly visible.

Handwritten musical score for Henselt's Piano Concerto, mm. 134-149. The score is written on two systems of staves. The first system covers measures 134 to 142, and the second system covers measures 144 to 149. The key signature is C minor (Cm: 3 flats), and the time signature is 3/4. The score is annotated with Roman numerals (I, IV, VI) and circled notes (Eb, D, G, Ab, G, C, Db, C, F, Fb, Eb, Ab, G, C) to indicate the fundamental structure. The notes are circled in red and connected by lines, showing a sequence of chords or intervals. The Roman numerals are placed below the staves, indicating the harmonic progression. The score is written in a clear, legible hand, with the notes and markings clearly visible.

2.2 *Larghetto*

The design of the second movement is a ternary-form in D-flat major; table 2.2 provides its outline. Lindeman speculates that Chopin's Prelude in D-flat major (Op. 28, No. 15) influenced this movement in terms of a melodic gesture of the beginning, the leap of interval sixth (F-Db-Ab), in the same key.³⁰ This movement is also known for Henselt's experimental harmonic design.³¹ Section A consists of three keys in major third apart, Db major – A major – F major – arpeggiating an augmented triad - which served as an influential compositional model for other composers such as Liszt, Wagner, Bruckner, and Richard Strauss.³² In projecting these three keys, the most crucial factor is the role of A major, which is discussed in the following analysis.

Table 2.2: Outline of the Second Movement of Henselt's Piano Concerto

A section		B section		A' section	
Primary Theme (Db Major)	1-8	New Theme (C-sharp Minor)	33-40	Primary Theme (Piano Solo, Db Major to A Major)	68-76
Primary Theme (Piano Solo, Db Major to A Major)	8-16	Transition	41-50	Prolongation of A Major	76-78
Secondary Theme (F Major, bVI/A)	17-24	F Minor to F Major	51-61	Return to I (V-I)	79-82
Return to A Major	25- 28	Retransition to I	62-67	Coda (Db Major)	83-91
Return to I (V-I)	29-32				

As was the case in the first movement, the second movement first presents the motto and then develops it. The three-note motto ($\hat{6}-\hat{5}-\hat{1}$), now in Db major, becomes Bb-Ab-Db. Example 2.8 illustrates the initial presentation of the motto. While the melodic line of the primary theme

³⁰ Lindeman, "I Have but Given Proof," 232.

³¹ Ibid.

³² Ibid., 233.

pivots around Ab ($\hat{5}$) in mm. 1-7, Bb appears in m. 2 as an upper neighbor to Ab, anticipating $\hat{6}$ - $\hat{5}$ - $\hat{1}$, and then confirming the motto in mm. 6-7. In mm. 10-12, the bass of the piano-solo part recalls the original F-minor presentation motto of the first movement (Db-C-F). The wide range of the arpeggio-accompaniment in the left hand is one of the characteristic features of Henselt's piano style.

Example 2.8: Initial Statement of the Motto in the Second Movement of Henselt's Piano Concerto, mm. 1-12

Figure 2.7 provides a graph of the A section, showing how the motto is embedded in the harmonic progression and the voice leading. A distinctive event occurs on the second beat in m. 14: here, the Db bass-note is enharmonically transformed into C#, the third of the A major chord, while the Bbb in the inner voice, then, is reinterpreted as A-natural in the next measure, finally arriving in the key of A major in m. 16 by means of a I6-V-I auxiliary cadence. This A-natural is sustained through the F major area in mm. 17-24 as the third of the F major triad, and then connects to the Ab bass in m. 29. At this point, the semitonal descent from the A-natural-equals B double-flat (mm. 16-26) to Ab (mm. 29-31) forms a bVI-V motion in Db major, recomposing the $\hat{6}$ - $\hat{5}$ of the motto in the original F minor mode. Given the motivic significance of A=Bbb as

b6 of Db major, and A major=Bbb major, mm. 16-26 should be emphasized in this section; additionally the F major of mm. 17-24 should be regarded as caught within the prolongation of A major. Looking at the F major area (mm. 17-24), the bass F functions as yet another bVI, now in the local context of in A major, projecting a further statement of the motto, F-E (m. 25)-A (m. 26), within the A major area. Thus, it can be demonstrated that the whole A section is built around nested statements of the three-note motto ($b\hat{6}-\hat{5}-\hat{1}$), and the most important voice leading can be summarized as follows: Bb (m. 2, m. 6) - Bbb (m. 14) = A natural (m. 15-28) - Ab (m. 29-31) - Db (m. 32).

Figure 2.7: Middleground Sketch of Henselt's Piano Concerto, the Second Movement, Section A

The B section begins with a new theme in C# minor, the enharmonically parallel key to Db major. As indicated in figure 2.8, C# descends a half step to C-natural during the transition in mm. 41-50. While the harmonies are continually changing throughout the transitional area, the bass note remains anchored on C-natural, which is enharmonically transformed into B# in m. 46, then back to C-natural in m. 50. As this C leads to the F in the bass in the next measure (m. 51), the theme cadences in F minor. Thus, exploring the bass line from m. 33 to m. 51, we discover a massive enlargement of the motto, Db (=C#)-C-F.

Figure 2.8: Middleground Sketch of Henselt's Piano Concerto, the Second Movement, Section B

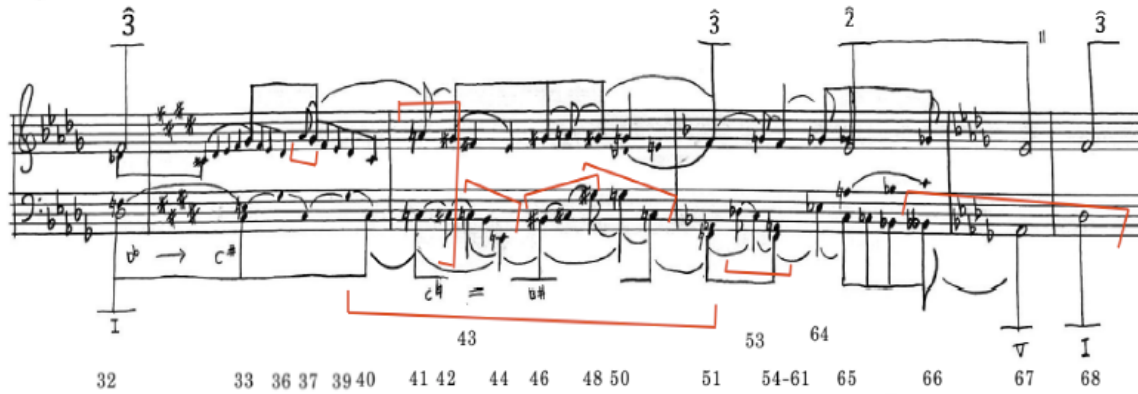
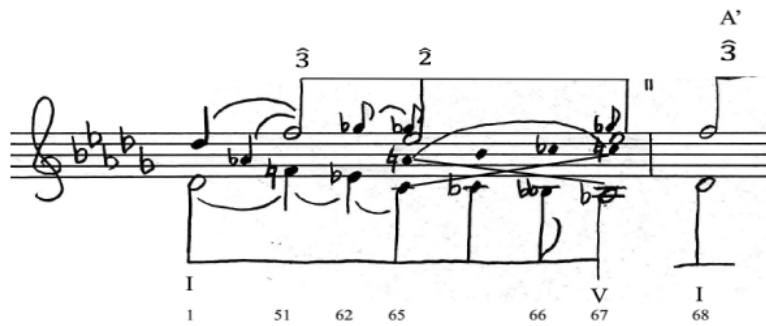


Figure 2.9: Background Sketch of Henselt's Piano Concerto, the Second Movement



In the middle of section B, the transition (mm. 41-51), the harmonic plan is strongly based on the motto and its transformation as indicated by red brackets in figure 2.8. Each statement is modified in different harmonies and relatively noticeable to the listener. The final statement in m. 51 concluding the enlarged Db (=C#)-C-F motto with *fortississimo*, places considerable emphasis on the F minor (major from m. 55) chord. However, it is important to point out that this F minor-major chord does *not* function as a structural harmony, but rather as “the upper-third” of Db major. As indicated in the background graph of figure 2.9, the main bass progression is not I (m. 1) – III (m. 51) – V (m. 57) or Db-F-Ab, but rather I (m. 1) – *b*VI (m. 56) – V (m. 57) or Db-Bbb-Ab, in order to create a further enlargement of $b\hat{6}-\hat{5}-\hat{1}$ across the entire A and B sections. In other words, the Bbb in m. 66 becomes the real goal of a stepwise chromatic bass descent across the B section: Db-C-Cb-Bb-Bbb-Ab. Within the transition in mm. 60-67, the

bass attains the Bbb (m. 66), which leads to the big dominant in m. 67, thereby expressing the motto in *Db minor* (Bbb-Ab-Db) across the main body of this movement. Figure 2.9 shows the bass stepping down from the Db in the beginning to the Bbb, and Ab, the goal, thereby revealing the whole structure of this movement to be conditioned by the motto.

Example 2.9: Second Movement of Henselt's Piano Concerto, mm. 33-40

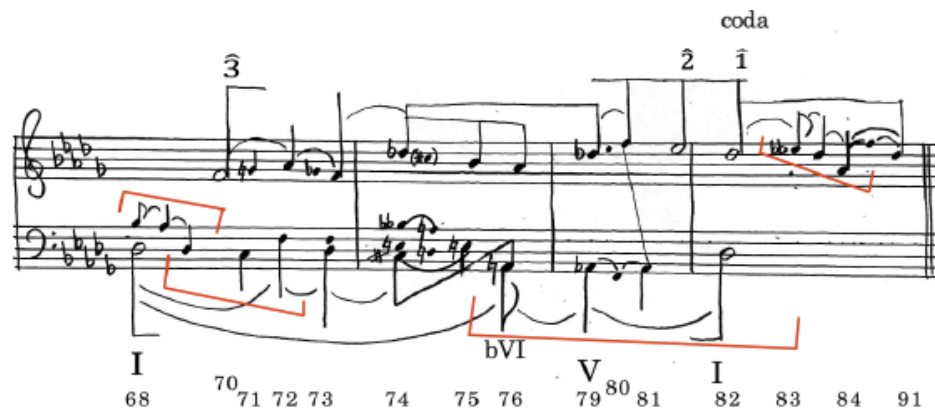
The image displays a musical score for the second movement of Henselt's Piano Concerto, measures 33-40. The score is written for four staves, with the piano soloist part occupying the top two staves and the piano accompaniment on the bottom two. The key signature is B major (three sharps). The tempo/mood is marked 'cantabile misterioso'. The score includes various musical notations such as notes, rests, and dynamic markings like 'p' (piano), 'f' (forte), 'cresc.' (crescendo), and 'dim.' (diminuendo). The piano soloist part features complex, flowing lines, while the piano accompaniment provides a steady, rhythmic foundation.

One of the noteworthy features of this movement is the use of four staves for the piano soloist. Henselt laid out four staves at the beginning of the middle section in C# minor, as presented in example 2.9. It is noteworthy that Rachmaninoff also adopted this manner of piano writing in his early prelude Op. 3 No. 2, which is in the same key (C# minor = Db minor) as the

b $\hat{6}$ - $\hat{5}$ - $\hat{1}$ motto.³³

Figure 2.10 describes the last part of this movement. When the A section returns in m. 68, the bVI-V progression is more clearly present since the F major phrase, bVI of bVI (A major), is omitted in this section. At the coda, from m. 83, an unexpected note, Ebb, appears as an upper neighbor to Db. As shown in both figure 2.10 and example 2.10, this Ebb produces yet another transformation of the motto as Ebb-Db-Ab, while the Bbb-Ab-Db motto is recalled in the inner voice. The second movement concludes with both mottos, whereby the semitones represent a compression of the whole tone in the major-mode form of the motto, *Bb-Ab-Db*.

Figure 2.10: Middleground Sketch of Henselt's Piano Concerto, the Second Movement, the Returning A Section



Example 2.10: Second Movement of Henselt's Piano Concerto, mm. 82-84



³³ Davis, "Henselt and the Russian Piano Music of his Time 1." 21.

2.3 *Allegro agitato*

In the Finale, Henselt employs sonata-allegro form; however, in the recapitulation, while this movement is mostly in F minor, the tonic returns in the parallel key, F major. Table 2.3 presents a formal-harmonic outline.

Table 2.3: Outline of the Finale of Henselt's Piano Concerto

Exposition		Development		Recapitulation	
Intro (Tutti, Solo)	1-27	Tutti (Ab Major)	177-192	Primary Theme	386-434
Primary Theme (F Minor)	28-61	Retransition (to F Minor)	192-219		
Transition (to V/III)	61-93	Primary Theme (F Minor)	220-249		
Secondary Theme (Ab Major)	94-176	Development of the Primary theme	249-265		
		Development of Transitional Material	265-297		
		Retransition to V	297-320		
		Development of the Secondary Theme	321-385		

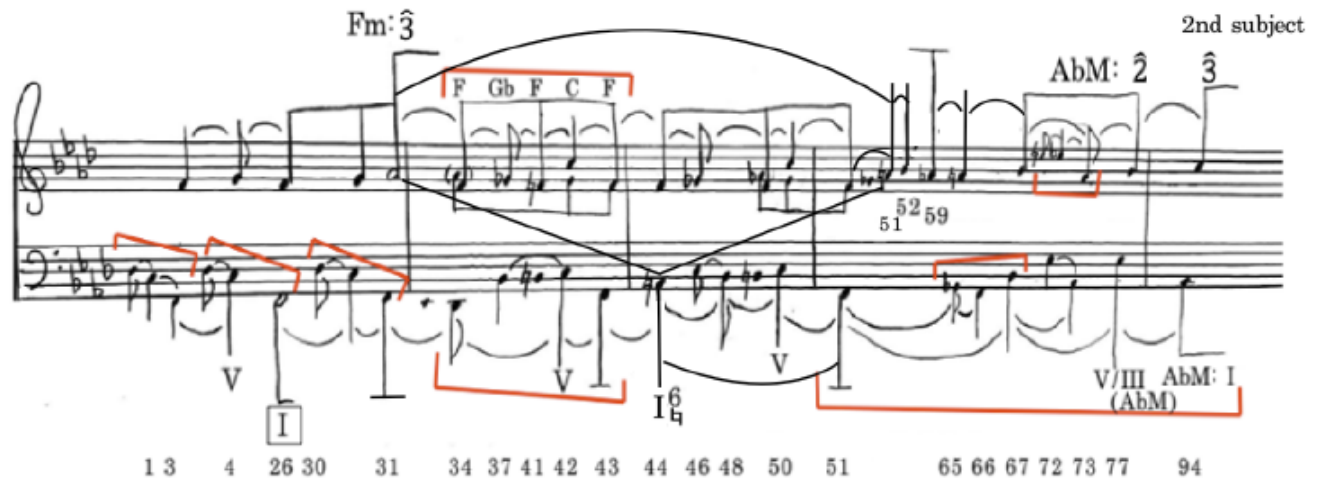
Example 2.11: Initial Statement of the Motto in the Finale of Henselt's Piano Concerto, mm. 1-12

The musical score shows the initial statement of the motto in the Finale of Henselt's Piano Concerto, measures 1-12. The tempo is marked "Allegro agitato. (♩ = 108)". The key signature is F minor (three flats). The score is for piano (piano) and includes a "Tutti" section. The bass line is circled in red, showing the notes Db, C, F, Db, C, F, Db, C, F, Db, C, F. Below the bass line, the notes are labeled: Db C F, Db C, and V. The tempo is marked "Allegro agitato. (♩ = 108)".

Just as the preceding movements begin with a suggestion of the motto, the finale also presents the motto in initial measures. As illustrated by example 2.11, once $\hat{6}\text{-}\hat{5}\text{-}\hat{1}$ (Db-C-F) motto is stated in the initial three measures, the following measure immediately restates $\hat{6}\text{-}\hat{5}$. This $\hat{6}\text{-}\hat{5}$ motion persists until the primary theme appears in m. 28 resolving to $\hat{1}$. Here is an

example whereby Db-C repeats in the bass in mm. 5-6 and mm. 7-8, and the material of mm. 1-4 is transformed in mm. 9-12 to highlight the motto's $\hat{6}$ - $\hat{5}$ component while suspending the resolution to $\hat{1}$.

Figure 2.11: Middleground Sketch of Henselt's Piano Concerto, Finale, mm. 1-94



Example 2.12: Finale of Henselt's Piano Concerto, mm. 28-43

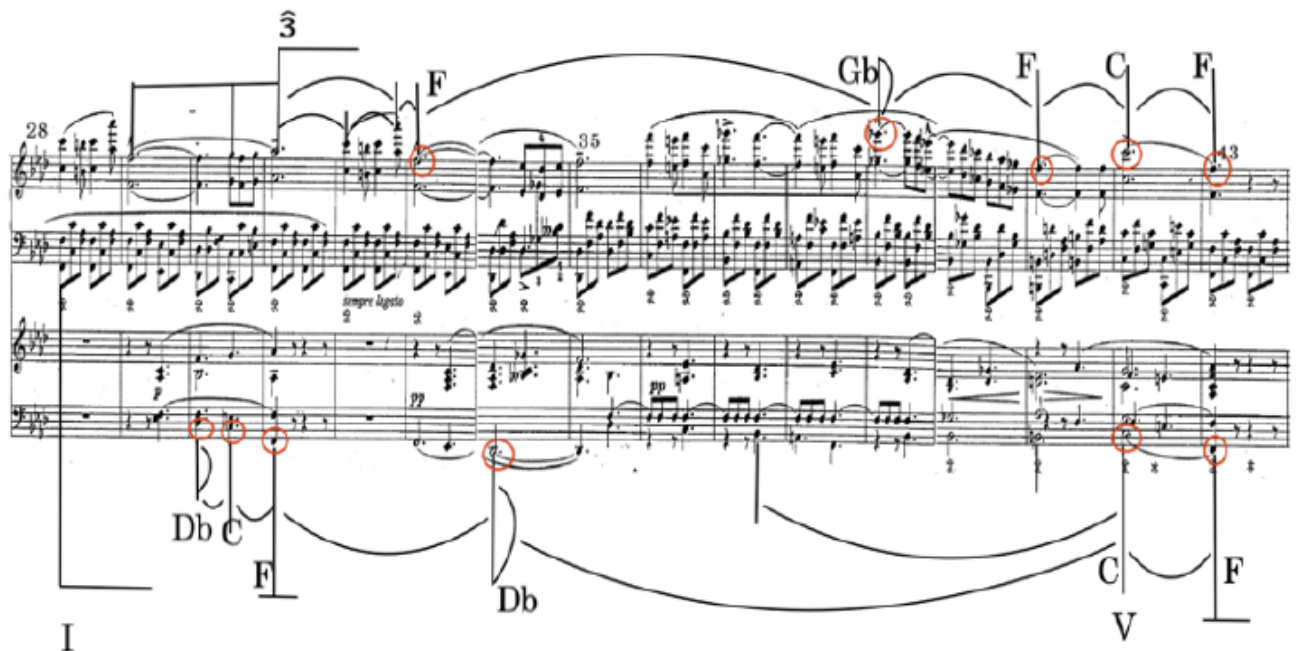
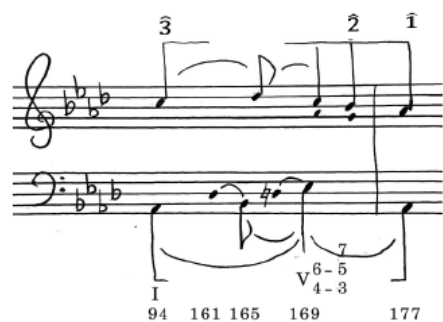


Figure 2.11 is a middleground graph of the primary theme area. At first glance, the graph highlights a common feature with the beginning of the first movement, whereby the initial

phrases conclude with the motto, Db-C-F, in the bass. The fundamental line begins when the primary theme appears from m. 26. This part also recalls the first movement that the bass line presents the three-note motto against the upper voice line ascending to Ab in mm. 29-31. After the bass states the motto here, it restates the motto in a larger scale through mm. 34-43 (Ex. 2.12). At the same time, a transformation of the motto occurs in the upper voice line: F (m. 33) – Gb (m. 39) – F (m. 41) – C (m. 42) – F (m. 43). The Gb (m. 39), the upper neighbor of F, significantly contributes to forming the motto (transposed). Thus performers should be aware of the importance of Gb and appropriately interpret it. In mm. 51-67, the Gb appears in the bass as an upper neighbor of F again. This time, the motto's pitch interval corrects to the original interval space by landing on Bb minor in m. 67. Through the transition, the motto transposes again to E-Eb-Ab in the upper voice in mm. 71-73, anticipating the following Ab major section. In the meantime, it turns out that the bass progression is suggesting the motto from the F minor (m. 51) heading to Ab major (m. 94) on a larger scale, as shown in the graph.

The second subject is built on a simple harmonic structure. Figure 2.12 provides its outline, and the following three examples show embedded mottos in the second theme area. Example 2.13 shows a similar technique to example 2.12. In mm. 102-109, the melodic line incorporates the motto (Bb-Cb-Bb-Eb) in the inner voice while the bass presents it in a major mode (C-Bb-Eb). Example 2.14 shows the motto embedded in the bass line. In this case, the motto does not end the phrase but place in the middle of the progression. Example 2.15 provides an example of a motto, which could be hard to detect at first listening. It is a succession of transposed mottos embedded in the inner voice then connected to the bass. The last one (Gb-F-Bb) even delays the resolution to Bb, making Bb most important, as the bass of the predominant chord.

Figure 2.12: Background Sketch of Henselt's Piano Concerto, the Second Theme of the Finale



Example 2.13: Finale of Henselt's Piano Concerto, mm. 102-109

Example 2.14: Finale of Henselt's Piano Concerto, mm. 137-144

Example 2.15: Finale of Henselt's Piano Concerto, mm. 155-165

The image displays a musical score for measures 155-165 of the Finale of Henselt's Piano Concerto. The score is written for piano and consists of two systems of staves. The first system covers measures 155-160, and the second system covers measures 160-165. The key signature is three flats (B-flat, E-flat, A-flat), and the time signature is 3/4. The music features a complex melodic line in the right hand and a more rhythmic accompaniment in the left hand. Red circles and lines highlight specific melodic fragments and their transformations across the measures. The word 'cresc.' is written above the staff in measures 158, 160, and 162.

There is a peculiar aspect to the development section. While the development proceeds in the middle of Ab major, the primary theme reappears in m. 218 as if it is the return of tonic (See example 2.16 and figure 2.13). However, it is more plausible to consider this F minor as VI of Ab major, which was established back in m. 92 than the returning of tonic. Also, supporting the idea that the Ab major is still the governing tonality, here in m. 218 the opening thematic material does not return, but rather a transformation of it. In this sense, Henselt's intention, revaluating the F minor in m. 218 as VI of III, allows working in the motto (Db-C-F) in mm. 191-218. Furthermore, the F minor itself becomes bVI when it proceeds to mm. 258-259 (Figure 2.13), the A major area, forming another motto (F-E-A). In this way, the motto keeps transposing as the key changes until m. 289.

Example 2.16: Finale of Henselt's Piano Concerto, mm. 218-223



Figure 2.13: Middleground Sketch of Henselt's Piano Concerto, Finale, mm. 177-321

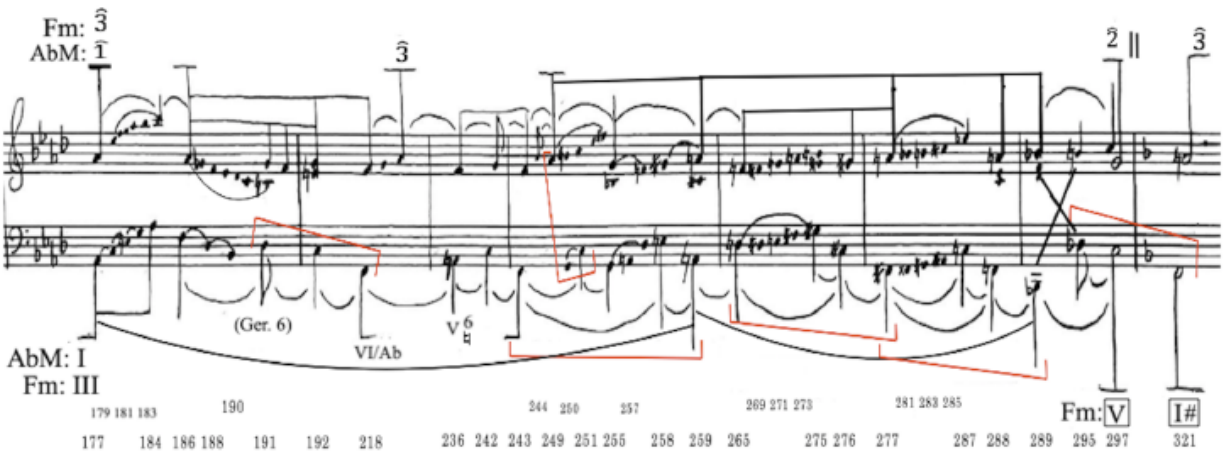
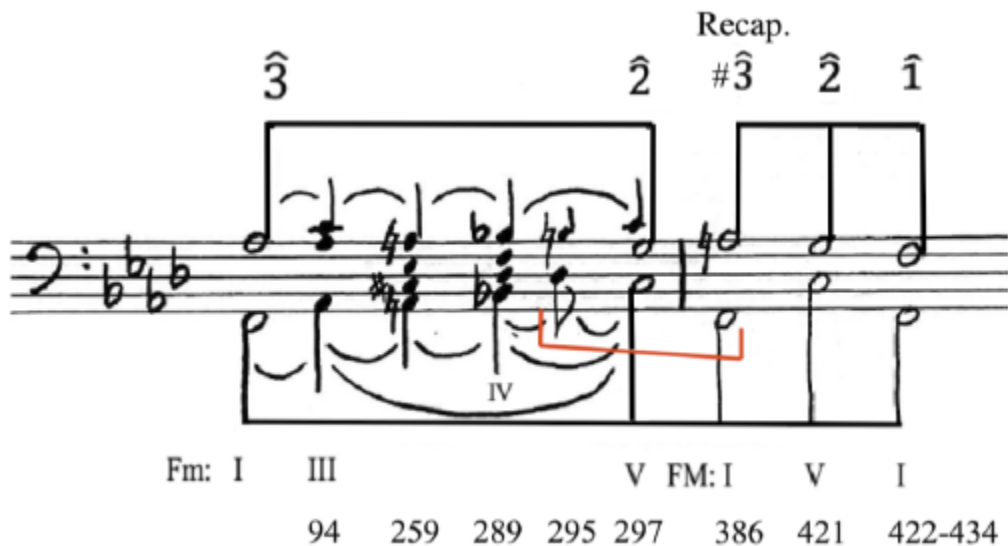


Figure 2.14: Background Sketch of Henselt's Piano Concerto, Finale



Thus, the underlying large-scale bass line moves as follows: F - Ab=G# (m. 92) - A (m. 259) - Bb (m. 289) - Db (m. 295) - C (m. 297) -F (major, m. 321). Figure 2.14 provides this outline in the background graph. Db-C-F in mm.295-321 is the largest-scale statement of the motto projected by the structure, Henselt's intention then in m. 218 would be to insert the motto $\hat{6}-\hat{5}-\hat{1}$ (or Db-C-F (mm. 191-218)) within the larger Db-C-F (mm. 295-321).

The recapitulation also consists of the harmonic progressions based on the motto as figure 2.15 illustrates. In the Finale of the Henselt, the strategy is to save the tonic return for the F major recomposition of the second theme. The idea in the recapitulation of the second subject is to stabilize the Bbb as A-natural. Observe that in previous sections, A-natural played a role as a passing tone to B. The following three examples (2.17-2.19) and m. 44 in figure 2.11 show representative instances.

Figure 2.15: Middleground Sketch of Henselt's Piano Concerto, Finale, mm. 321-434

The sketch shows a musical progression across two staves. The top staff contains measures 381, 394, and 421. The bottom staff contains measures 321, 375, 376, 384, 386, 392, 393, 395, 398, and 422-434. Above the top staff, there are markings $\#3$ and $2 \ 1$. Below the bottom staff, there are markings FM: I, V, and I.

Example 2.17: Finale of Henselt's Piano Concerto, mm. 51-55

The score shows measures 51 to 55. The top staff has measures 51, 52, 53, 54, and 55. The bottom staff has measures 51, 52, 53, 54, and 55. There are red circles around the notes in measures 51 and 54.

Example 2.18: Finale of Henselt's Piano Concerto, mm.122-129

Example 2.18 shows measures 122-129 of the Finale of Henselt's Piano Concerto. The score is in 3/4 time, key of B-flat major. The tempo is marked *p marcato*. The right hand has a melodic line with chromatic passing tones, and the left hand has a bass line with chromatic passing tones. Red circles highlight specific notes in both hands.

Example 2.19: Finale of Henselt's Piano Concerto, mm. 132-137

Example 2.19 shows measures 132-137 of the Finale of Henselt's Piano Concerto. The score is in 3/4 time, key of B-flat major. The tempo is marked *p marcato*. The right hand has a melodic line with chromatic passing tones, and the left hand has a bass line with chromatic passing tones. Red circles highlight specific notes in both hands.

As shown above, the A-natural was a chromatic passing tone, but at the end of the concerto, it is celebrated as canceling and overcoming the Ab. Rachmaninoff employs this idea in his piano concertos, especially parallel with the finale of his Second Piano Concerto. This idea evidences the powerful influence of Henselt on Rachmaninoff.

CHAPTER 3

HENSELT'S INFLUENCE ON RACHMANINOFF

3.1 Prelude Op. 3 No. 2 in C-sharp Minor

Rachmaninoff's Prelude in C-sharp minor is one of his early works clearly influenced by the compositional style of Henselt's Piano Concerto.³⁴ In this piece, the three-note motto recurs at various transpositional levels while preserving the C-sharp minor tonality from the beginning to the end. Theodor Adorno in his *Quasi una Fantasia: Essays on Modern Music* remarks that "the [Rachmaninov] Prelude is just one long cadence...It parodies the passacaglia progression by taking three cadence-forming bass notes..."³⁵ Those cadence-forming bass notes are relevant to A-G#-C# ($\hat{6}-\hat{5}-\hat{1}$ in C-sharp minor) as indicated in the following analysis.

Although the whole piece remains in the key of C-sharp minor with no modulations, it is divided into three sections, A B A'. Example 3.1 provides an analysis of the fundamental structure of the first A section, showing how the motto, A-G#-C#, occurs in the first two measures almost exactly as at the outset of Henselt's Concerto. Once the motto is stated in the initial two measures, it recurs throughout as marked by the brackets. When the bass proceeds by rising thirds, arpeggiating (C#-E-G#) in mm. 4-6, the motto metamorphoses into transposed forms; C natural-B-E in mm. 4-5 and E-D#-G# in mm. 5-6. The top voice also embeds the motto in its voice leading. In the middle of the initial ascent to $\hat{5}$, A appears in m. 5 as an upper neighbor of F double-sharp. While serving as an upper neighbor of F double-sharp, this A also leads to $\hat{5}$, forming an inverted motto continued from C# in mm. 1-2. This C#-A-G# form of the

³⁴ Richard B. Davis, "Henselt and the Russian Piano Music of His Time 1." *Musical Opinion* 138 (Jan 2015): 21.

³⁵ Theodor W. Adorno, *Quasi una Fantasia: Essays on Modern Music*, Trans. Rodney Livingstone (New York: Verso, 1998), 39.

motto reappears in mm. 10-11 while its bass articulates a transformation of the motto, F double-sharp – G# – C#.

Example 3.2 provides an analysis of the fundamental structure of the middle section. One of its most noteworthy features is the harmonic progression in mm. 21-27. Indeed, VI in m. 21 is the first appearance of a chord, which departs from the prolongation of tonic. This VI chord connects to m. 25 (F# bass in VI_5^6), but more importantly, reaches G# bass in m. 26, arriving back to I in m. 27. Thus, this harmonic structure (VI-V-I) unfolds the motto over a larger span.

At the same time, the motto is projected by another aspect of the voice leading that extends across mm. 25-27, and moves from the top voice to the inner voice. While A (m. 25) ascends to C# (m. 27) in a small progression, more significantly, the top voice also carries the motto in the middle section when the melodic line reaches the highest register in this piece. In m. 35, the fifth scale degree (G#) is preceded by its upper neighbor note (A), and this A-G# is highlighted by the *fff*. Then, by resolving to C# in m. 45, the top note completes A-G#-C# on a larger scale. The bass once more emphasizes the motto in mm. 41-45 when the piece returns to the A' section. At this time, its harmonic progression is IV⁶-V-I, while the bass still shapes the motto.

The returning A section projects the same structure as the first A section, with the exception of the last seven closing measures. In mm. 55-58, the inner voices revolve around A ($\hat{6}$), and finally the piece closes with the motto in the last three measures; A-G# over bass C as marked in example 3.3. Also, as mentioned earlier in the discussion of the slow movement of Henselt's Concerto, Rachmaninoff employs here one of Henselt's notational techniques, namely the use of four staves at the end of his prelude.

Example 3.1: Fundamental Structural Analysis of Rachmaninoff's C#-minor Prelude, the section A

The image displays a musical score for Rachmaninoff's C#-minor Prelude, section A, with extensive structural analysis annotations. The score is written for piano and includes the tempo marking "Lento" and the first ending bracket "1".

Annotations and Diagrams:

- Chord Symbols:** Above the staff, a series of chord symbols are marked: C# (circled in red), A (circled in red), C#m: 5 (circled in red), G# (circled in red), C#, A, and G#.
- Scale Degrees:** Below the staff, the notes C#, D#, E, and F# are labeled, corresponding to the first four notes of the C#-minor scale.
- Structural Lines:** A complex network of lines connects the notes and chords across the staff, illustrating the structural relationships and voice leading. These lines include horizontal lines, vertical lines, and curved lines that group related notes.
- Red Brackets:** Red brackets are placed under the staff, highlighting specific groups of notes or chords, likely indicating structural units or phrases.
- Dynamic Markings:** The score includes dynamic markings such as "ff" (fortissimo), "ppp" (pianississimo), and "pp" (pianissimo).
- Measure Numbers:** Measure numbers 7 and 12 are indicated within the score.
- Key Signature:** The key signature is C#-minor, indicated by the "C#m:" label and the presence of two sharps (F# and C#) in the key signature.

Example 3.2: Fundamental Structural Analysis of Rachmaninoff's C#-minor Prelude, the section B

The image displays two systems of musical notation for Rachmaninoff's C#-minor Prelude, section B. The notation includes piano (p), forte (f), and fortissimo (fff) dynamics, as well as performance markings like 'Agliaio', 'dim.', 'cresc.', and 'ff'. The score is annotated with structural analysis symbols and numbers.

System 1 (Measures 14-28):

- Measures 14-18: Marked with a large bracket and the Roman numeral **I**.
- Measure 19: Marked with a large bracket and the Roman numeral **VI**.
- Measures 20-23: Marked with a large bracket and the Roman numeral **VI**.
- Measures 24-28: Marked with a large bracket and the Roman numeral **I**. Above measure 24 is the number 3, and above measure 25 are the numbers 2 and 1.

System 2 (Measures 29-42):

- Measures 29-32: Marked with a large bracket and the Roman numeral **I**.
- Measures 33-37: Marked with a large bracket and the Roman numeral **I**.
- Measures 38-41: Marked with a large bracket and the Roman numeral **IV6**.
- Measures 42-44: Marked with a large bracket and the Roman numeral **V**.

Red circles highlight specific notes in measures 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30, 31, 32, 33, 34, 35, 36, 37, 38, 39, 40, 41, and 42. A red line connects the notes in measures 24 and 25.

Example 3.3: Fundamental Structural Analysis of Rachmaninoff's C#-minor Prelude, the Returning A Section

The image displays a musical score for the 'Returning A Section' of Rachmaninoff's C#-minor Prelude. The score is written for piano and includes various performance markings such as *Tempo primo*, *pesante*, *dim.*, *mf*, and *ppp*. The score is annotated with structural analysis markings, including a large bracket spanning measures 45 to 51, and a smaller bracket spanning measures 51 to 58. A vertical line is drawn between measures 51 and 52, indicating a structural division. Above the score, a sequence of numbers (5, 4, 3, 2, 1) is written, likely indicating a sequence of measures or a specific structural analysis. The score is written in C# minor, with a key signature of two sharps (F# and C#). The tempo is marked *Tempo primo*. The score includes various musical notations, including notes, rests, and dynamic markings. The score is annotated with structural analysis markings, including a large bracket spanning measures 45 to 51, and a smaller bracket spanning measures 51 to 58. A vertical line is drawn between measures 51 and 52, indicating a structural division. Above the score, a sequence of numbers (5, 4, 3, 2, 1) is written, likely indicating a sequence of measures or a specific structural analysis. The score is written in C# minor, with a key signature of two sharps (F# and C#). The tempo is marked *Tempo primo*. The score includes various musical notations, including notes, rests, and dynamic markings.

This C# minor Prelude, indeed, shows the strong influence of Henselt in terms of utilizing the $\hat{6}-\hat{5}-\hat{1}$ motto in the harmonic structure and voice leading. Considered in this light, this small Prelude also foreshadows how Rachmaninoff will further develop the motto in a much larger work, his Second Piano Concerto.

3.2 The Second Piano Concerto Op. 18 in C minor

3.2.1 *Moderato*

The first movement of Rachmaninoff's Second Piano Concerto is in sonata-allegro form beginning with a piano-solo introduction (Table 3.1). Rachmaninoff embeds the $\hat{6}-\hat{5}-\hat{1}$ motto in the harmonic plan of the whole structure, with significant emphasis placed on Ab (VI), as is demonstrated in the following analysis.

Table 3.1: Outline of the First Movement of Rachmaninoff's Second Piano Concerto

Exposition		Development		Recapitulation	
Introduction	1-10	G major (V)	153-160	Primary Theme (C minor)	245-296
Primary Theme (C minor)	11-75	Primary Theme (CM, FM, BbM, GM)	161-244	Second Theme (Ab Major)	297-352
Transition	75-82			Coda (C minor)	353-374
Second Theme (Eb Major)	83-152				

As in his C-sharp minor Prelude, Rachmaninoff states the motto at the beginning of his Second Concerto, establishing clear commonalities with Henselt's Concerto and the other abovementioned works. Example 3.4 shows how the motto is worked into the introduction and thematic melody. The concerto begins with an initial auxiliary cadence, IV-V-I. The $\hat{6}$ of C minor, Ab, embedded in the inner voice of the IV chord in the initial measure, is clearly revealed by the bass octave in m. 8 as the harmony resolves to V, then I. In this way, the movement begins with a clear statement of the motto, Ab-G-C; the initial statement of the motto is then

spun out in the primary theme and its harmony as indicated in the example.

In addition to the $\hat{6}-\hat{5}-\hat{1}$ motto in C minor, there is compelling evidence that at the beginning of his concerto Rachmaninoff adopted Henselt's motto, note-for-note, from Henselt's F minor concerto. By beginning in F minor Rachmaninoff may be referring directly to the main key of Henselt's Piano Concerto. Even more remarkably, Rachmaninoff embeds the major-minor form of the motto $\# \hat{6}-\hat{6}-\hat{5}-\hat{1}$ as (D-) Db-C-F, in the inner – alto – voice in mm. 3-9, as indicated in example 3.5; these are exactly the same notes as in Henselt's primary transposition of the motto. However, it is noteworthy that Rachmaninoff rotates Henselt's motto to become F-Db-C, or $\hat{4}-b\hat{2}-\hat{1}$ so that he can incorporate it into the global key of his concerto, C minor. Also, by employing both D \sharp and Db within F-D-C and F-Db-C, in mm. 7-9, the contrast between $\hat{2}$ and b $\hat{2}$ – D and Db – is clearly worked into the motto. This version of the motto not only recurs analogously to the $\hat{6}-\hat{5}-\hat{1}$ motto, but is composed out over a wider span through mm. 28-55. Armed with this *aperçu*, we can now observe that Rachmaninoff employs the motto in the beginning of his concerto at two transpositional levels simultaneously: 1) Ab-G-C ($\hat{6}-\hat{5}-\hat{1}$ in C minor), 2) F-(D)-Db-C ($\hat{1}-(\# \hat{6} \text{ or } b\hat{7})-\hat{6}-\hat{5}$ in F minor and $\hat{4}-\hat{2}-b\hat{2}-\hat{1}$ in C minor).

Example 3.4: First Movement of Rachmaninoff's Second Piano Concerto, mm. 1-19

Example 3.5: First Movement of Rachmaninoff's Second Piano Concerto, mm. 1-62

Example 3.5: First Movement of Rachmaninoff's Second Piano Concerto, mm. 1-62

Key: Fm: $\hat{1}$
Cm: $\hat{4}$

Tempo: Moderato, ($\text{♩} = 66$)

Measures 1-62 are shown, including measures 18, 22, 26, and 29. The score includes various musical notations such as dynamics (*pp*, *poco a poco cresc.*, *rit.*, *a tempo*), articulation (*non pesante*), and fingerings ($\hat{1}$, $\hat{2}$, $\hat{3}$, $\hat{4}$, $\hat{5}$, $\flat\hat{2}$). Chord symbols (F, D, Db, C) and scale degrees ($\hat{1}$, $\hat{2}$, $\hat{3}$, $\hat{4}$, $\hat{5}$, $\flat\hat{2}$) are indicated above the staff. Red circles highlight specific notes in measures 8, 10, 13, 16, 26, and 29.

$\flat 2$ $\flat 2$ $\flat 2$ $\flat 2$ $\flat 2$
 D \flat D \flat D \flat C \flat D \flat D \flat

31 35 39 43

$\flat 2$ $\flat 2$ $\flat 2$ $\hat{1}$

47 51 55 60

motto, VI-V-I (C-Bb-Eb) in Eb major through mm. 75-83. Simultaneously, the original minor-form of the motto in Eb major emerges in the inner voice by lowering C-natural to Cb in mm. 77-78, so that the second theme also can begin with the statement of the motto, Cb-Bb-Eb (see figure 3.1 and example 3.7).

Example 3.6: Transformation of $\widehat{6}$

(a) First Movement of Rachmaninoff's Second Piano Concerto, mm. 23-27

23 26

(b) First Movement of Rachmaninoff's Second Piano Concerto, mm. 51-54

51

(c) First Movement of Rachmaninoff's Second Piano Concerto, mm. 59-62

59

Example 3.7: Transition to the Second Theme, the First Movement of Rachmaninoff's Piano Concerto, mm. 75-83

The image shows a musical score for the first movement of Rachmaninoff's Piano Concerto, specifically the transition to the second theme (mm. 75-83). The score is written for piano and includes markings for 'Tempo I.', 'rit.', 'cresc.', 'p', 'mf', 'pp', 'allegretto', and 'mod.'. The bass line features a cadential 6-4 chord (Eb-D-G) in mm. 101-102. The inner voice produces an important voice leading strand. The motto (Cb-Bb-Eb) is highlighted in red circles and connected by a red line. The score includes markings for 'EbM: VI', 'V', and 'I'.

As suggested earlier, in the transition, $b\hat{6}-\hat{5}-\hat{1}$ (Cb-Bb-Eb) appears at the beginning of the second theme. Example 3.8 shows how the motto first arises in the inner voice (as it had earlier in the primary theme) and then migrates upwards into the melodic line. The motto is also embedded in the harmonic design, as indicated in figure 3.2. When the bass arpeggiates from Eb (m. 83) to G (m. 103), it passes through the bass D in mm. 101-102, which creates the cadential 6-4 chord, this progression generating a transposition of the motto as Eb-D-G. Also, through mm. 108-113, the inner voice produces an important voice leading strand. Once again, the mediant of IV (here, in Eb major, the Ab major chord) stands out in m. 108 with its lowered third Cb; thus the bass line reproduces $b\hat{6}-\hat{5}-\hat{1}$. This Cb reappears yet again in m. 140 in the inner voice of VI to reach the big V in the second theme area, creating a sense of unity. Rachmaninoff reemphasizes Cb-Bb at the return to Eb major as the local tonic in mm. 145-161. Example 3.9 shows how the Cb resolving to Bb (mm. 145-151) is reversed in G major chord (mm. 153-155) in the piano part – as Cb transforms to B-natural – at the beginning of the development.

Example 3.8: First Movement of Rachmaninoff's Second Piano Concerto, mm. 83-87

Figure 3.2: Middleground Sketch of Rachmaninoff's Piano Concerto, the First Movement, the Second Theme

Example 3.9: First Movement of Rachmaninoff's Second Piano Concerto, mm. 145-156

The development section, initiated by an emphatic declaration of $b\hat{6}-\hat{5}-\hat{1}$ (Eb-D-G) in G major, prolongs V, as presented in figure 3.3. In terms of the larger harmonic plan, the bass G (m. 153) moves towards the chord in m. 201, namely the climactic German-sixth ninth chord on G# with minor ninth (A-natural), which, enharmonically, is equivalent to Ab-C-Eb-F#-Bbb. The G# (really Ab), VI, steps up to A-natural in m. 225, then returns back to G-natural in m. 227 immediately before the recapitulation. Through the harmonic design of the development, the motion of the bass generates both the $b\hat{6}-\hat{5}-\hat{1}$ and $\hat{6}-\hat{5}-\hat{1}$ forms of the motto simultaneously within the framework of G-G#-A-G-C, as indicated by the bracket at the bottom of the figure 3.3.

In conjunction with this large-scale projection of the motto by the overall harmonic design, smaller-scale progressions delineated by motto are also embedded within it. In mm. 177-193, a transformed motto is concealed in the voice leading between inner voice and bass line. The F# as an upper-neighbor note resolves to F natural in the inner voice m. 181, and the passing tone, Cb in m. 192, resolves to Bb in m. 193. Thus, this voice leading produces a transformed motto, F#-F-Cb-Bb. Upon closer inspection, example 3.10 shows that Cb-Bb is once more emphasized in mm. 185-189. However, this time, the B-natural within the G major chord (mm.185-188) functions as Cb, which resolves to Bb in the I^6 chord of Bb major. In mm. 225-227, there is another smaller-scale motto progression in the chromatically descending bass. As presented in example 3.11, the bass line, A \flat -Ab-G, repeats in mm. 229-231, accentuating the motto and the big dominant (G major chord). Then, the bass moves in the opposite direction, ascending F \flat -F#-G, in mm. 233-237 while the upper voice descends from Ab to G. Through this part, Rachmaninoff underscores the motto, A \flat -Ab-G, and its inversional transformation (F \flat -F#-G), both resolving in the strong dominant that concludes the development section.

Figure 3.3: Middleground Sketch of Rachmaninoff's Second Piano Concerto, the Development of the First Movement

Dev.

Cm: $\hat{3} \hat{2}$ b $\hat{2}$ || $\hat{3}$
EbM: $\hat{1}$

145 153 161 169 177 181 192 193 201 213 217 225 227 233 237 245
152 200 226 -244

Chords: G, G#(Ab), Ab, G, C

Roman numerals: EbM: I, Cm: III, V, I

Example 3.10: First Movement of Rachmaninoff's Second Piano Concerto, mm. 177-193

177 Più vivo. (♩ = 76)

181

184 189 Più vivo. (♩ = 76)

Chords: BbM: 16, B = Cb, Bb, Cb, Bb

Example 3.11: First Movement of Rachmaninoff's Piano Concerto, mm. 225-237

225 Allegro. (♩ = 96)

229

V₄ 6 5 3 V

232 ritard a tempo

In the recapitulation, the second theme unexpectedly returns on VI, in Ab major, then directly connects to V in m. 313 with the cadential 6-4 chord. This progression also makes the motto obvious, as shown in a graph in figure 3.4. In this way, the bass line more frequently reiterates the motto (Ab-G-C) as the movement moves towards its conclusion. Examples 3.12 and 3.13 provide other instances; 3.14 shows how the motto concludes the movement, emphasizing the Ab bass in m. 372 with a syncopation.

Figure 3.4: Middleground Sketch of Rachmaninoff's Second Piano Concerto, the Recapitulation of the First Movement

245 261 276 283 284 296 297 313 321-end

I IV V V I

Example 3.12: First Movement of Rachmaninoff's Second Piano Concerto, mm. 339-353

Un poco meno mosso.

339

Un poco meno mosso.

347

Meno mosso, (♩ = 63)

V

I

Example 3.13: First Movement of Rachmaninoff's Second Piano Concerto, mm. 369-374

369

cresc.

ff

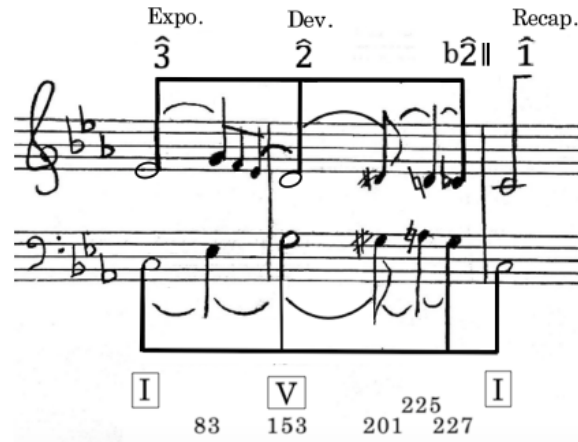
IV⁶

V

I

The background graph (Figure 3.5) summarizes how Rachmaninoff composes out the two contrasting forms of the motto at the largest-scale across the development and recapitulation: $G\# = (Ab)-G-C$ and $A\flat-G-C$. As in Henselt's concerto, these two forms of the motto embody a hard-fought conflict between the “dark” form in the minor mode and its “bright” transformation into the major mode.

Figure 3.5: Background Sketch of Rachmaninoff's Second Piano Concerto, the First Movement



3.2.2 *Adagio sostenuto*

Rachmaninoff employs ternary form (ABA') for the second movement, the same as adopted by Henselt for his second movement. The special feature of Rachmaninoff's use of ternary form is the imbalance between the lengths of the middle and outer sections; Rachmaninoff's B section is the longest part of the form spanning 82 measures out of 162 measures, and developing the main theme throughout. Another distinction is that Rachmaninoff casts a single theme in this movement and develops it, whereas Henselt and Rachmaninoff's other movements make use of multiple thematic materials. Nevertheless, this slow movement also exhibits significant commonalities with the abovementioned works in its structural and harmonic design.

Table 3.2: Outline of the Second Movement of Rachmaninoff's Second Piano Concerto

A		B		A'	
Orchestral Introduction (C Minor to E Major)	1-4	Development of the Main Theme (F# minor (V/Bm))	47-72	Piano Introduction (E Major)	129-132
Piano Introduction (E Major)	5-8	Development of the Main Theme E minor (IV/Bm)	73-92	Main Theme by Orchestra (E Major)	133-147
Main Theme by Orchestra (E Major)	9-23	D Major (III/Bm)	93-104	Coda (E Major)	148-162

A		B		A'
Main Theme by Piano (E Major to B Major)	24-39	C# Major to E Major	105-121	
Transition (B Major to B Minor)	39-46	F major to B Major (V)	122-128	

Example 3.14: Initial Statement of the Motto in the Second Movement of Rachmaninoff's Second Piano Concerto, mm. 1-9



Although this movement is in E major, it begins in C minor, continuing the global tonality from the first movement until the second beat of m. 3. With remarkable smoothness, the introduction links the dark key of C minor with the bright key of E major, or III#3 of C minor. Example 3.14 indicates important motivic features in the first nine measures. The Ab ($\hat{6}$), which was the crucial note that within the motto in the first movement, is now enharmonically reinterpreted as G# (III and $\hat{3}$ of E major) marked with *forte*. This G# in m. 3 in the top voice anticipates the fundamental line beginning on $\hat{3}$ of E major, and the chord serves as III#, helping to identify the upcoming key of E major. At the same time, C \flat in the inner voice is enharmonically associated with B# in mm.3-4, and resolves to B in the E chord. This enharmonic transformation allows Rachmaninoff to work in the motto in both major and minor forms as C \flat (m.1) - C# (m. 4) - B# (m. 4) - B and E (m. 5). Thus, C \flat -B-E and C#-B-E are intertwined. To clarify it, this idea is immediately recomposed in mm. 5-8 in the inner voices. The same idea is

presented by the upper voice at the end of the introduction, mm. 7-9, in a transposed form as E# (m. 7) - E (m. 8) - D# (m. 8) - G# (m. 9).

The middleground graph, figure 3.6, shows how the main idea, the interwoven motto, recurs in the inner voices throughout the A section. It also demonstrates that the upper voices carry the motto in a transposed form. For more detailed illustration, see example 3.15.

Rachmaninoff stresses the third beat in m. 13 and the second beat in m. 14 as reinforced by the dynamic marks. Each of those chords includes C# and B# respectively, immediately resolving to B each time; thus, this voice leading creates both the major and minor forms of the motto. In mm. 17-19, the C# – as a harmonic component of A major chord – resolves to B, passing through the C \flat in m. 18. This process enables the main idea, C#-C \flat -B-E, to be highlighted again by tripling the voices. Furthermore, a series of the transposed mottos appears in mm. 19-22; C#-B-E in the inner voice and the bass in mm. 19-20, which is instantly followed by D-C#-F#(II) in the left hand of the piano part. The bass continues to bring out yet another statement of the motto, A-G#-C#, in mm. 21-22. This C# bass in m. 22 assumes the most important role among these consecutive statements of the motto when one considers it within the larger progression, and Rachmaninoff emphasizes it with a small crescendo to *f* and decrescendo. The C# major chord functions as the VI#, the predominant, and it leads to the first cadence in this movement, connecting to B major (V) in m. 23, then to E major (I). At the same time, another transposed motto appears in the upper voice in mm. 22-24 in an intertwined form, E#-E \flat -D#-G#, that closes the phrase.

Figure 3.6: Middleground Sketch of Rachmaninoff's Second Piano Concerto, the Second Movement, Section A

The image shows a handwritten musical score for Rachmaninoff's Second Piano Concerto, Second Movement, Section A. The score is written on two staves, treble and bass. It includes various musical notations such as notes, rests, and accidentals. Red brackets and boxes are used to highlight specific harmonic and melodic segments. Below the staves, Roman numerals and chord symbols are written to indicate harmonic analysis.

Harmonic analysis labels below the staves:

- Cm: I
- VI
- EM: III#
- I
- VI
- V
- I
- V/V
- V
- Vb

Measure numbers below the staves:

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 18 19 20 21 22 23 24 25 27 28 29 30 31 32 33 34 36 37 38 39 43 44 45 47

Example 3.15: Second Movement of Rachmaninoff's Second Piano Concerto, mm. 13-24

The A Section ends on a half cadence in m. 45, making a transition to B minor (V \flat) through m. 46, marking the onset of the B section. The B section focuses on developing the main theme and the motto. To explain this passage, example 3.16 provides a foreground analysis of the beginning of the middle section, showing how the motto is embedded in the voice leading tissues. Rachmaninoff inserts mottos in the transposed or transformed form in between changes of harmony in the bass of mm. 48-49, mm. 52-53, and again in a transformed form in mm. 54-55 as marked in the example. After a long pedal-tone on the A-bass extending from m. 55 to m. 66, another transposed motto occurs beginning on G in mm. 67-68 in the bass, leading towards the secondary dominant (B half-diminished 7th chord) of E major (V of A minor). This statement of the motto, G \flat -F \sharp -B, is made more noticeable because it is emphasized by tempo and dynamic markings of *allargando* and a *forte* on the G. Simultaneously, the upper voice also project the motto, F \sharp -F \flat -E-A, closing the phrase in mm. 68-71. A similar pattern continues until m. 93 as the same paragraph is repeated with different harmonies.

Example 3.16: Fundamental Structural Analysis of Rachmaninoff's Second Piano Concerto, the Second Movement, mm. 47-71

The image displays a musical score for the second movement of Rachmaninoff's Second Piano Concerto, measures 47 through 71. The score is written for piano and includes various performance instructions and structural analysis annotations.

Measure 47: The movement begins with the instruction "Un poco più animato." The score is in 3/4 time. The key signature has one sharp (F#).

Measure 53: The score continues with the instruction "p" (piano). The key signature changes to two sharps (F# and C#).

Measure 60: The score continues with the instruction "a tempo". The key signature changes to one sharp (F#).

Measure 63: The score continues with the instruction "a tempo". The key signature changes to one sharp (F#).

Measure 66: The score continues with the instruction "a tempo". The key signature changes to one sharp (F#).

Measure 70: The score continues with the instruction "a tempo". The key signature changes to one sharp (F#).

Measure 71: The score ends with the instruction "a tempo". The key signature changes to one sharp (F#).

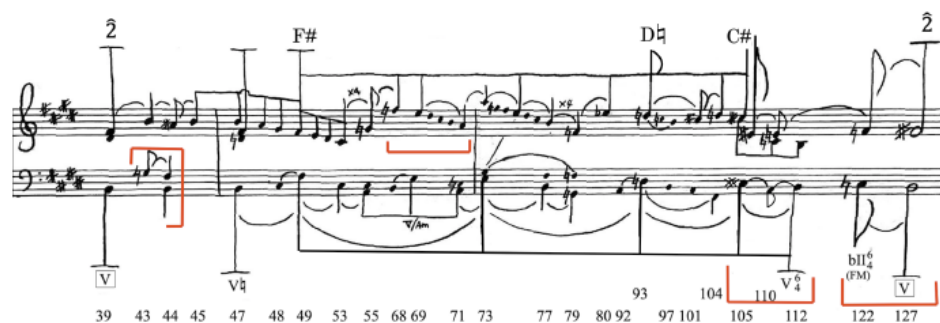
Structural Analysis Annotations:

- Measure 47:** A vertical line labeled "2" is placed above the staff.
- Measure 53:** A vertical line labeled "F# C#" is placed above the staff.
- Measure 60:** A vertical line labeled "F#" is placed above the staff.
- Measure 63:** A vertical line labeled "F#" is placed above the staff.
- Measure 66:** A vertical line labeled "F#" is placed above the staff.
- Measure 70:** A vertical line labeled "E" is placed above the staff.
- Measure 71:** A vertical line labeled "A" is placed above the staff.
- Measure 47:** A vertical line labeled "V# C#" is placed below the staff.
- Measure 70:** A vertical line labeled "V/Am" is placed below the staff.

The score includes various musical notations such as notes, rests, and dynamic markings (p, f, mf, ff, dim., cresc.). The key signature changes from one sharp to two sharps and back to one sharp. The tempo markings include "Un poco più animato.", "a tempo", and "allargando".

Figure 3.7, a middleground graph, discloses that section B is in a massive prolongation of V. Once the section begins on V \flat , the bass moves fifth up (F# minor) in m. 49, then arrives to C# in m. 105 by stepping down passing through E in m. 73 and D \flat in m. 93. This C#-bass, which is emphasized by the *fortissimo* in m. 105, is one of the important notes of the B section. The C# is prolonged for seven measures, and then leads to the B-bass in m. 112, also prolonged for ten measures. This C#-B stepwise progression in the bass produces the major-mode form of the motto; then in m. 122, the C \flat -bass appears with strong emphasis produced by the *sforzandissimo*, then resolves to B major in m. 127, now projecting the contrasting minor-mode form of the motto, C \sharp -B. Shortly before resolving on B, there is an insertion of a transformed motto, G \flat -F \sharp -F \flat -B, in mm. 124-127, in a style of a short cadenza, as presented in example 3.17. In this way, section B stresses both major and minor forms of the motto by stretching out each note at the climax, within the prolongation of V. Simultaneously, E \sharp , or #1 in E major, the third of the C# major chord in m. 105 is enharmonically transformed into F natural, or the Phrygian b2, to create the striking Neapolitan six-four in m. 122. Just as C natural resolves down by semitone to B, F natural resolves up by semitone to F \sharp , to correct b2 to 2. The interruption on F \sharp (2) at the end of the B section is bridged-over by placing A (m. 127) on top of V to create V7, the A functioning as an upper neighbor to the G \sharp serving as the primary tone in the A' section.

Figure 3.7: Middleground Sketch of Rachmaninoff's Second Piano Concerto, the Second Movement, Section B

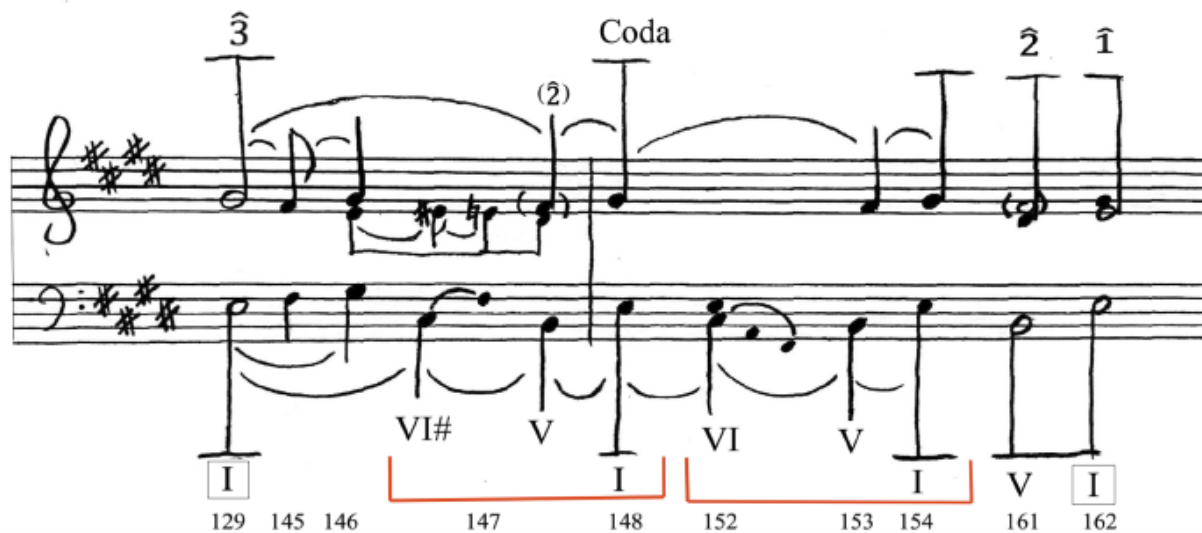


Example 3.17: Second Movement of Rachmaninoff's Second Piano Concerto, mm. 124-127



While the returning A section preserves a similar harmonic design as the opening A section, the coda is preceded by statements of the major form of the motto (C#-B-E), in mm. 146-147, and mm. 152-154, as indicated in the middleground graph, figure 3.8. Example 3.18 shows the coda, which also embeds the same form of the motto in its harmonic progression in mm. 152-154, attaining a long tonic pedal on E. This major form of the motto finally returns to the combined form in mm. 155-157 in the inner and top voices to conclude the movement.

Figure 3.8: Middleground Sketch of Rachmaninoff's Second Piano Concerto, the Second Movement, Returning A Section



Example 3.18: Fundamental Structural Analysis of Rachmaninoff's Second Piano Concerto, the Second Movement, mm. 148-162

The image displays a musical score for the second movement of Rachmaninoff's Second Piano Concerto, measures 148 to 162. The score is written for piano (p) and includes a clarinet (Clar.) part. The key signature is D major (two sharps). The tempo is marked 'a tempo'. The score is divided into two systems. The first system covers measures 148 to 153, and the second system covers measures 154 to 162. The piano part features a prominent triplet of eighth notes in measures 148, 151, and 153. The clarinet part has a melodic line with some notes circled in red. The score is annotated with structural analysis, including Roman numerals (I, VI, V) and a large bracket spanning the entire passage. The first system is marked with a '3' above the first measure, and the second system is marked with a '2' above the first measure and a '1' above the last measure. The piano part has a '3' above the first measure and a '2' above the last measure. The clarinet part has a '2' above the first measure and a '1' above the last measure. The piano part has a '3' above the first measure and a '2' above the last measure. The clarinet part has a '2' above the first measure and a '1' above the last measure.

3.2.3 *Allegro scherzando*

The finale employs sonata-allegro with a formal contraction, i.e., it omits the recapitulation of the primary theme. This formal scheme provides further compelling evidence for Rachmaninoff taking the Henselt Piano Concerto as a compositional model; indeed, both finales end in tonic major key. In other words, both concertos employ the *per aspera ad astra* narrative, whereby they begin in the minor mode and conclude triumphantly in the major. Additionally, both finales focus on the primary theme in the development rather than their second theme. There is the further peculiarity of Rachmaninoff's finale, whereby the introductory material reappears at the end of the movement in the major key. Table 3.3 presents an outline of the finale.

Table 3.3: Outline of the Finale of Rachmaninoff's Second Piano Concerto

Exposition		Development		Recapitulation	
Orchestral Introduction (E Major to V/Cm)	1-20	Intro to the Development (G Major)	162-169	Primary Theme Omitted	
Piano Introduction (V/Cm)	21-42	Restatement of the Primary Theme (G Major)	170-188	Secondary Theme (Db Major)	300-345
Primary Theme (C Minor)	43-97	Development of the Primary Theme (G Major)	188-214	Transition (to V)	346-384
Transition (V/Bb Major)	98-105	Further Development of the Primary Theme in a Fugue (G Major)	214-278	Prolongation of V	384-416
Secondary Theme (Bb Major)	106-149	Transition (Tutti) (G Major to Db Major)	278-300	Reappearance of the Introduction (V \sharp)	416-420
Transition (to G Major)	150-161			Coda (C Major)	421-466

Just as the slow movement, that begins in C minor and transitions to its home key of E major, the finale opens with a transition from the slow movement's key of E major, through the V of C minor, back to the global key of C minor. The music emphatically moves to Ab (m. 13) - G (m. 17) - C (m. 43) as shown in the graph, figure 3.9. Thus, the motto is recomposed and

stated on a larger scale than m. 8 of the first movement. Both introductions to the first and third movements feature the same bass progression, unfolding Ab down a third to F (m. 15) before reaching G (m. 17).

Figure 3.9: Middleground Sketch of Rachmaninoff's Second Piano Concerto, the Primary Theme in the Finale

As shown in example 3.19, in the piano introduction to the Finale, Rachmaninoff emphasizes G and Ab, the crucial notes of the motto. The piano solo enters in m. 21 with the lowest G in the bass, then ascends to the highest Ab, emphasized by *fortissimo*. Another *fortissimo* underscores the repetitions of Ab-G in mm. 27-32, these repetitions being embedded in arpeggio patterns. These arpeggio patterns are, in turn, concluded by a complete presentation of the three-note motto, Ab-G-C, in mm. 33-35. This time, Ab (m. 33) also unfolds to F - as it had in m. 15 - so that Ab ($b\hat{6}$) can be further stressed, sounding here like a syncopation. Through mm. 35-43, the $\hat{6}-\hat{5}-\hat{1}$ motto reappears in the form combining the major and minor modes, A \sharp -Ab-G-C, similar to the slow movement. In this way, Rachmaninoff clearly articulates the motto in the introduction before the primary theme begins.

Example 3.19: Motto in the Piano Introduction, the Finale of Rachmaninoff's Second Piano Concerto, mm.21-43

The musical score is presented in two systems. The first system, measures 21-27, begins with a piano introduction marked *quasi gliss.* and *ff*. The melody is in the right hand, with a bass line in the left hand. The second system, measures 30-43, continues the melody and bass line. The score includes various musical notations such as notes, rests, and dynamic markings. Red circles highlight specific notes in measures 21, 27, 30, 36, and 43. Above the first system, a diagram shows the pitch contour of the motto theme, starting on G and moving to Ab, and then back to G. Below the first system, a diagram shows the harmonic structure, with a vertical line labeled V. Below the second system, a diagram shows the harmonic structure, with a vertical line labeled IV and another labeled I. The score also includes fingerings (1-5) and articulation marks (accents, slurs).

As shown in example 3.20, the primary theme begins with Ab ($\hat{6}$) descending to C ($\hat{1}$), suggesting $\hat{6}$ - $\hat{5}$ patterns by repeating in the top voice. As soon as the top voice descends to $\hat{1}$, Ab is replaced by A \sharp in mm. 47-48, and then Ab returns in m. 49. This Ab (m. 49) is then connected to G ($\hat{5}$) in m. 51. In this manner, both the major and minor forms of the motto are presented in mm. 35-43.

Example 3.20: Motto in the Primary Theme in Rachmaninoff's Finale, mm. 43-51

Examining the bass line in mm. 65-73 (see figure 3.9 above), one can see how the motto is transposed throughout this passage. The major form of the motto, C-Bb-Eb, appears in mm. 65-71, and the minor form, Eb-D-G, in mm. 71-73. Those motto statements result from insertions of the secondary dominants, Bb (m. 70) and D (m. 71).

From m. 75, the Eb-major harmony is prolonged for four measures while projecting transpositions of the motto. As marked in example 3.21, $\hat{5}$ - $b\hat{6}$ - $\hat{5}$ (Bb-Cb-Bb) of Eb major is prominent in the top voice and inner voice over Eb bass. The same neighbor-note figure is then repeated in mm. 79-82 in C major (G-Ab-G). At first hearing, when the Eb major chord appears in m. 75, it might be regarded as III; however, by examining the continuation in mm. 83-90, it becomes clear that Ab (m. 83) is the goal, in order to recreate the motto as Ab (m. 83) - G (m. 89) - C (m. 90) (see figure 3.9). Thus, the Eb major harmony is better understood as V of Ab (m.

83) rather than III of C minor.

Example 3.21: Transposed Motto in Rachmaninoff's Finale, mm. 75-82

After the primary theme concludes with a cadence employing the Ab-G-C motto (mm. 94-97), the second theme begins in Bb major, preceded by its dominant (V/Bb) in mm. 98-105 as shown in figure 3.10. The second theme expresses the motto in Bb major. Example 3.22 shows how, while the main melody revolves around $\hat{5}$ (F), Gb is projected in m. 126 as the upper neighbor of F. Together, Gb and F over Bb in the bass created the motto in mm. 126-128. This Gb-F-Bb motto transforms to G-F# (Gb)-C and G-F-B in mm. 138-141, at the highest notes as marked in example 3.23. When the entire melodic line ends in mm. 148-150, $\hat{6}-\hat{5}-\hat{1}$ (Gb-F-Bb) reappears. The harmonic structure even more strongly emphasizes the motto in the bass. At the climax of the second theme in m. 138, the bass moves to Gb supporting an Italian augmented sixth, then resolves down to V. After prolonging F bass (V) for a while, the secondary theme ends on Bb bass in m. 150. Thus, as shown in the middleground graph (figure 3.10) the bass delineates the Gb-F-Bb motto as well. It is noteworthy that in m. 150, a sense of closure is avoided through the use of an accented six-four chord. With this prolonged six-four, G natural resolves down to F, thus recomposing the preceding Gb-F in the major mode.

Figure 3.10: Middleground Sketch of Rachmaninoff's Second Piano Concerto, the Second Theme in the Finale

Example 3.22: Motto in the Second Theme, Rachmaninoff's Finale, mm. 122-129

Example 3.23: Motto and its Transposed Form in Rachmaninoff's Finale, mm. 137-149

The development section prolongs $V\sharp$, G major. A middleground graph (figure 3.11) shows how the overall harmonies compose out the G major chord, emphasizing D as a strong dominant of G major in m. 266; G (I in m. 162) – D (V in m. 266) – G (I in m. 278). Within the prolonged G in the bass, Rachmaninoff inserts $A\flat$ to recall the $\hat{6}\text{--}\hat{5}$ motto. Example 3.24 illustrates one of two occasions in mm. 178-189. From m. 180, material from the exposition (example 3.21) reappears in $A\flat$ major. However, this $A\flat$ -major harmony functions differently than the $E\flat$ -major harmony in the exposition. Here (m. 180), the $A\flat$ bass comes from G in m. 178, and returns to G in m. 188. Thus, the $A\flat$ -G neighbor note in the bass recomposes the VI-V motto in the home key.

Figure 3.11: Middleground Sketch of Rachmaninoff's Second Piano Concerto, the Development in the Finale

Beginning in m. 188, Rachmaninoff inserts a fugal section developing the primary theme over V. Interestingly, as it takes up the primary theme, the fugal part begins with the motto transposed to G. Example 3.25 shows $E\flat$ -D over G bass (mm. 189-190, the $\hat{6}\text{--}\hat{5}$ motto) and C- $B\sharp$ over $E\sharp$ bass (mm. 191-192). Then $E\flat$ -D-G reappears in m. 196 and steps down to $D\flat$ -C-F in the next measure.

Example 3.24: Transposed motto in mm. 178-187, Rachmaninoff's Finale

178 184

Piu mosso. (♩ = 120.)

f

pp

acceler.

Eb Fb Eb Eb Fb Eb Eb Fb Eb C Db C C Db C C Db C

Ab F

GM: I
Cm: V \flat

bII
bVI

Example 3.25: Transformed Motto in mm. 188-200, Rachmaninoff's Finale

The development also concludes with the motto (Ab-G-C) in its bass line through mm. 270-284 (see figure 3.11 above). When the development ends on C minor in m. 284 (example 3.26), the primary theme returns, but only very briefly. This abridgement of the opening theme suggests that it not really the true beginning of the recapitulation, but a kind of momentary “false return.” It is important to recognize that the C minor chord in mm. 284-291 here has a *triple* meaning. 1) It could be the tonic, but it is too abridged (too short) to function as a real tonic return. 2) It could be VII of Db major, a leading-tone chord to the Db passage in m. 300ff., and 3) it could be the IV of G. This third possibility prevails: the largest-scale bass progression proves to be G – C (m. 284) – Db (m. 300) – D natural (m. 374) – G (m. 384). In other words, continuing to prolong the G from the development through the recapitulation, this background harmonic progression is I-IV-#IV or bV-V-I.

The recapitulation is represented by the secondary theme rather than the first theme. This recapitulation begins unusually on #IV or bV of G, namely in Db major, preceded by an eight measures phrase on its dominant Ab. At this point, the role of C minor (mm. 284-291) is revealed it be either the VII of Db or, at a more background level, the IV of G, as shown in figure 3.12.

Figure 3.12: Middleground Sketch of Rachmaninoff's Second Piano Concerto, the Recapitulation in the Finale

The figure displays a musical score for the Recapitulation in the Finale of Rachmaninoff's Second Piano Concerto, with a corresponding harmonic analysis below. The score is in C minor (Cm) and 2/4 time. The key signature is three flats (Bb, Eb, Ab). The tempo is marked 'Dev.' (Development) and 'Recap.' (Recapitulation). The score is divided into measures, with measure numbers 284 through 465 indicated below the staff. The harmonic analysis below the staff provides a detailed breakdown of the chords and their functions throughout the piece.

Harmonic Analysis:

- Measures 284-289:** Cm: V (Cm: I), GM: I, C -
- Measures 290-300:** VII/D_b, V/D_bM, DbM: I, Cm: bII, V⁶₄ = 5/3, C -
- Measures 301-315:** DbM: I, Cm: bII, V⁶₄ = 5/3, C -
- Measures 316-328:** DbM: I, Cm: bII, V⁶₄ = 5/3, C -
- Measures 329-345:** It.6, V7, IV7, V, Cm: V/V, V/D, V⁶₄ = 5/3, C -
- Measures 346-356:** V⁶₄ = 5/3, V⁶₄ = 5/3, V⁶₄ = 5/3, C -
- Measures 357-373:** V⁶₄ = 5/3, V⁶₄ = 5/3, V⁶₄ = 5/3, C -
- Measures 374-385:** V⁶₄ = 5/3, V⁶₄ = 5/3, V⁶₄ = 5/3, C -
- Measures 386-392:** V⁶₄ = 5/3, V⁶₄ = 5/3, V⁶₄ = 5/3, C -
- Measures 393-400:** V⁶₄ = 5/3, V⁶₄ = 5/3, V⁶₄ = 5/3, C -
- Measures 401-416:** V⁶₄ = 5/3, V⁶₄ = 5/3, V⁶₄ = 5/3, C -
- Measures 417-421:** V⁶₄ = 5/3, V⁶₄ = 5/3, V⁶₄ = 5/3, C -
- Measures 422-438:** V⁶₄ = 5/3, V⁶₄ = 5/3, V⁶₄ = 5/3, C -
- Measures 439-445:** V⁶₄ = 5/3, V⁶₄ = 5/3, V⁶₄ = 5/3, C -
- Measures 446-465:** V⁶₄ = 5/3, V⁶₄ = 5/3, V⁶₄ = 5/3, C -

The analysis also includes a 'Goal' section at the end, marked with a circled '3' and a '2' above it, indicating the final resolution of the piece.

Example 3.26: False Return of the Primary Theme in mm. 284-291, Rachmaninoff's Finale



Within the harmonic structure of the recapitulation, the motto distinctively transforms, ascending by half step. The motto in the tonic (Ab-G-C), which prevails in the exposition and the development, is transposed up a half step in the recapitulation when the second theme returns in Db major. The middleground sketch (figure 3.12) shows that once the $\hat{5}-\hat{1}$ is transposed up by half step in mm. 292-300, the harmonic procedure confirms the motto in Db major (Bb-Ab-Db) throughout mm. 300-346. Furthermore, when Bb-Ab-Db is transposed up another half-step to A \flat -D in mm. 365-374, more material from the primary theme reappears in m. 358 as presented in example 3.27. This returning material sounds like the primary theme returns on I_4^6 . However, as the music heads toward D major in m. 374 with a deceptive cadence, it becomes apparent that the G bass of the I_4^6/Cm (mm. 358-364) is less important than the A bass of the V of D major. Thus, mm. 358-364 turns out to be yet another false return of primary theme material as the G bass functions as a leading tone to the A bass in m. 365.

Example 3.27: False Return of V, but VII of A Major in mm. 358-376, Rachmaninoff's Finale

358 Allegro scherzando. (Moto primo.) (♩ = ♩) (♩ = 116.)

363

368 Allegro scherzando. (Moto primo.) (♩ = ♩) (♩ = 116.)

pp *p* *p*

VII/AM

V/DM

366

370

374 poco a poco accel.

mf *cresc.* *p* *mf*

II/AM

5 6
3 4

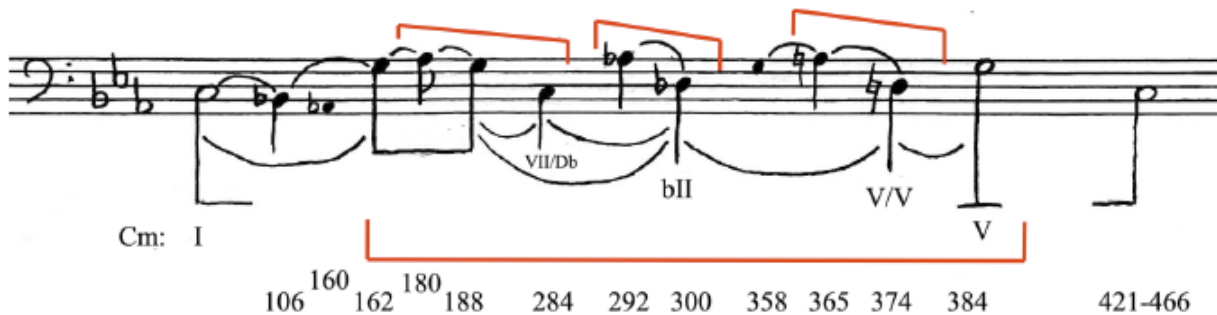
V_4^{6-5-3}/AM

V/DM

Cm: V/V

A background sketch (figure 3.13) sums up the harmonic progression of the recapitulation, showing the motto progressively transposed up by step; (Ab)-G-C, (Bb)-Ab-Db, and A \sharp -D. While this smaller progression occurs, a transformed motto G-Db-D \sharp -G stretches out in a larger progression across mm. 162-384. It is more apparent in the background graph that the motto in a transformed form (G-Db-D \sharp -G) utilizes the tritone (G-Db), which is one of the characteristics of Rachmaninoff's compositional technique. Thus, the way of beginning the real recapitulation in Db major rather than the tonic becomes even more remarkable.

Figure 3.13: Background Sketch of Rachmaninoff's Finale



At the end of the finale, the motto informs the conclusion. Example 3.28 shows how the bass states the motto in both major and minor forms in mm. 457-461 (A-G \sharp =Ab-G-C) indicated with tenuto marks. The motto is finally corrected to the major form, A-G-C, in m. 460 as the entire concerto ends in the major tonic. This transformation to the major form is foreseen when the piano introduction reappears. At the return of the piano introduction, the A natural, which had been Ab in the introduction, cancels the flat, asserting the tonic major key.

Example 3.28: Major Form of the Motto in mm. 457-466, Rachmaninoff's Finale

The image displays a musical score for Rachmaninoff's Finale, measures 457-466. The score is written for piano and bass. The piano part is in treble clef, and the bass part is in bass clef. The key signature is one sharp (F#), and the time signature is 3/4. The score is marked with a forte (f) dynamic. The tempo is indicated as 'mm.' (measures per minute). The score is annotated with harmonic analysis, including Roman numerals (I, III 6, V, I) and chord symbols (A, G# (=Ab), G, A, G, C). The annotations are placed below the bass staff, with lines connecting them to the corresponding notes in the piano part. The piano part features a complex, rhythmic melody with many beamed notes. The bass part provides a harmonic foundation with sustained chords and moving lines. The annotations highlight specific harmonic moments, such as the transition from I to A, and the use of G# (=Ab) and G. The score ends with a final I chord in the bass part.

3.3 Expressing the Motto in the Performance

As demonstrated by the analysis, Rachmaninoff's Second Concerto is profoundly impacted by the $\hat{6}-\hat{5}-\hat{1}$ motto, which is the core motivic element throughout the entire work. Awareness of the motto will enable performers to bring out important motivic features in their performance, thereby conveying the composer's original intentions. In this chapter, some examples are discussed from a performer's standpoint.

While the orchestra plays the opening theme in the first movement, the solo piano supports the main melody with arpeggios. A passage in example 3.29 shows that a transposed motto, Fb-Eb-Ab, appears for the first time in mm. 40-41 in the bass. Rachmaninoff changed the meaning of E♭ (m. 38), notating it as Fb in m. 40, so that the bass projects a transposition of the motto. Although the piano accompaniment is barely audible at this point, one is able to detect that Rachmaninoff himself stresses the left-hand part projecting the transposed motto in his recording made with the Philadelphia Orchestra in 1929.³⁶ Thus, performers should be aware of the importance of this motto and apply this knowledge to the performance in some ways.

Also, for example, when the passage ends in mm. 52-55, awareness of a motto (A♭-Ab-G-C) in the inner voice is even more important because it is very closely related to the main motto, which was suggested in a similar way in mm. 13-15, as described in example 3.30. From this perspective, I would suggest that A♭-Ab-G-C in the inner voice be projected through the complicated arpeggio patterns.

³⁶ Sergei Rachmaninov, *Piano Concerto No. 2 in C Minor, Op. 18*, Philadelphia Orchestra, conducted by Leopold Stokowsky, recorded in 1929, RCA Victor, 1994, streaming audio, accessed April 19, 2021, Naxos Music Library. the First Movement (*Moderato*), 1:06.

Example 3.29: First Movement of Rachmaninoff's Second Piano Concerto, mm. 35-58

35 39

43 47

51 55

espressivo

D

Bb Bb Bb Ab Db Db G

Ab Ab G C

Example 3.30: First Movement of Rachmaninoff's Second Piano Concerto, mm. 13-15

13

Ab G C

In the second theme area, while the right hand projects the melody, the bass carries two mottos, E \flat -E \flat -A \flat in mm. 105-107 and B \flat -B \flat -E \flat with B \flat prolonged in mm. 108-113 (see

example 3.31). The performer should consider the grouping measures and shaping phrases in accordance with these motto statements. For example, once the performer recognizes the motto, E \flat -Eb-Ab in mm. 105-107, (s)he should play these three measures as one group with no interruption, then begin the next statement of the motto in m. 108. In his recording of this part, Rachmaninoff slightly loosens the tempo only after the first beat of m. 107.³⁷ This manner of performance provides a hint of the transposed motto, E \flat -Eb-Ab.

Example 3.31: First Movement of Rachmaninoff's Second Piano Concerto, mm. 103-116

³⁷ Rachmaninoff, the First Movement (*Moderato*), 2:53.

Analogously to the first movement, as mentioned above, the first transposition of the motto appears in the left hand in mm. 20-21 in the second movement (see example 3.32).

Although there is no indication mark in the piano part, Rachmaninoff clearly projects the motto, D-C#-F#, in his recording, playing it louder than the right-hand part. Also, in mm. 21-22, the minor form of the main motto appears in the inner voice. He also makes the C \flat more prominent than any other voices so that the C \flat -B semitone is audible, being contrasted with by the major form of the motto (C#-B) in the bass in mm. 22-23 marked by its hairpin dynamics.³⁸

Example 3.32: Second Movement of Rachmaninoff's Second Piano Concerto, mm. 19-23



The similar pattern repeats throughout the movement, as indicated in example 3.33. In his own performance, Rachmaninoff places more weight on B# in m. 138 than C# in m. 137.³⁹ This is perhaps because he regards the original form of the motto, the minor form, as being more fundamental or strong than the major form even though this movement is composed in the *major* mode (E major). Thus, the performer needs to consider the relative weights of the two forms of the motto – major and minor - and project their nuanced emphases through their performance.

³⁸ Rachmaninoff, the Second Movement (*Adagio sostenuto*), 1:36.

³⁹ Ibid., 8:42.

Example 3.33: Second Movement of Rachmaninoff's Second Piano Concerto, mm.137-139



In mm. 75-82 in the finale, it is comparatively easy to project the motto statements as the notes are placed in the top melody and doubled in the inner voice, as described in example 3.34. However, a passage with an irregular pattern in mm. 83-89 could lose its direction if the performer does not recognize the motto, (F)-E-Eb, over Ab in the bass. The most important note in this part is the bass Ab because the Ab becomes $\hat{6}$ of C minor through mm. 88-90. Indeed, in his recording, Rachmaninoff himself emphasizes the Ab and G (mm. 88-89, the two notes marked by circles) as the strongest notes, proclaiming the motto.⁴⁰

⁴⁰ Rachmaninoff, the Finale (*Allegro scherzando*), 1:26.

Example 3.34: Finale of Rachmaninoff's Second Piano Concerto, mm. 75-90

The musical score is presented in two systems. The first system covers measures 75 to 79, and the second system covers measures 81 to 85. The key signature is B-flat major (two flats). The time signature is 3/4. The score is written for piano (piano concerto). The right hand (treble clef) features a complex melodic line with many accidentals and ties. The left hand (bass clef) provides a more rhythmic accompaniment with chords and single notes. Red circles highlight specific notes and chords throughout the score. A large bracket at the bottom indicates a harmonic progression from Ab to C.

Measures 75-79: The right hand plays a complex melodic line with many accidentals and ties. The left hand provides a more rhythmic accompaniment with chords and single notes. Red circles highlight specific notes and chords.

Measures 81-85: The right hand continues the melodic line. The left hand features a series of chords labeled Eb, Fb, Eb, F, Fb, Eb. A large bracket at the bottom indicates a harmonic progression from Ab to C.

CHAPTER 4

CONCLUSION

Rachmaninoff's Second Piano Concerto is one of the most representative works in Russian piano literature. Even though this concerto itself is highly regarded for its musical value, it could not have come into being without precursors and models. Henselt employs the $\hat{6}-\hat{5}-\hat{1}$ motto in his Piano Concerto to generate the melodic material and structural design. The detailed analysis presented here has demonstrated how Rachmaninoff makes use of the same $\hat{6}-\hat{5}-\hat{1}$ motto as Henselt and probably adopted it from him.

The three-note motto seems to have had a long and distinguished ancestry; indeed, it can be traced to German music in the mid-nineteenth century and even to Chopin. We have observed that Brahms even used three different forms of the motto in the first movement of his late Clarinet Sonata Op. 120 No. 1 in F minor, a work in which the composer seems to confront his own mortality; in addition to the $\hat{6}-\hat{5}-\hat{1}$ (Db-C-F), $\hat{5}-b\hat{2}-\hat{1}$ (C-Gb-F) and its "mirror" transformation, $\hat{1}-\hat{2}-\hat{5}$ (F-G-C), are significant in the Sonata, the perfect fifth "healing" the tragic tritone. The formal design of this sonata is based on these three interrelated mottos, enabling two different interpretations. One of two possible readings emphasizes $\hat{6}-\hat{5}-\hat{1}$ in the bass line across the structure, while the other highlights $\hat{5}-b\hat{2}-\hat{1}$.

Chopin's, Mazurka Op. 63 No. 3 in C-sharp minor, is based on a closely related motto, namely the four-note motto, $\hat{3}-\hat{6}-\hat{5}-\hat{1}$ (E-A-G#-C#), which contains the motto $\hat{6}-\hat{5}-\hat{1}$ as a subset as its last three notes. Chopin's use of the motto here evokes a catastrophe in the middle section, which is ironically in the major key. This tragic dénouement is intimated by the tritone inserted into the head of the motto (Bb (A#)-E-A-G#-C#). Henselt, who was born in Germany

and spent his formative years there, brought this European tradition of mottos to Russia, where it would be further developed by Rachmaninoff.

In contrast to Brahms and Chopin, Henselt attempts to transform the motto in other ways in his Piano Concerto. The motto in the first movement tends to transform to diatonic forms, for example, G-A-C and C-A-G in the melody of the consolatory *religioso* section in the key of C major. However, its harmonic structure preserves the minor form of the motto (Eb-D-G) in the bass line, and ultimately the movement ends with the $\hat{6}-\hat{5}-\hat{1}$ (Db-C-F) motto. Even though the minor form of the motto is strongly marked in the final measures of the first movement, the concluding F major tonic with the Picardy third fights back against the “dark” form of the motto. The slow movement conveys the motto in the major form (Ab-Bb-Ab-Db) in the melody of the primary theme. However, the minor form of the motto is still latent and even dominates the main harmonic structure, although Henselt employs the D-flat major key. In the finale, the $\hat{6}-\hat{5}-\hat{1}$ (Db-C-F) motto also confronts the F major key at the recapitulation. But, this time, the motto overcomes the semitone and ends with triumphant F major. In this way, Henselt’s concerto shows a tendency for the minor form of the motto to conflict with major key signatures. Although the finale seems to defeat the minor form of the motto by achieving F major at the end, the larger structural design still reinforces the minor-mode $\hat{6}-\hat{5}-\hat{1}$ (Db-C-F).

Rachmaninoff adopts the $\hat{6}-\hat{5}-\hat{1}$ motto intact in his early prelude in C-sharp minor. The three notes, A-G#-C#, form cadences across the whole piece. Rachmaninoff transposes the motto in this prelude but never alters its minor tonality. However, in his much longer and more ambitious Second Piano Concerto, he further develops the motto. In his C minor concerto, Rachmaninoff attempts to transform the motto into its major form already in the first movement, canceling the flat on A. However, the motto preserves its original minor-mode form even in the

second theme area in E-flat major. The second movement in E major presents the motto in both major and minor forms (C#-C♭-B-E). Recall that Henselt attempts to escape from the minor form at the beginning of his slow movement. But, the difference is Rachmaninoff's slow movement does not fixate its structural plan in just the minor-mode form of the motto (C♭-B-E), but rather integrates both the minor and major forms within a complex dialogue. In the finale, the motto initially reverts to the chromatic form, Ab-G-C, but then ultimately overcomes its tragic destiny, the concerto ending triumphantly in C major with the diatonic form of the motto (A-G-C). In this celebratory conclusion, Rachmaninoff again follows the larger trajectory of Henselt in his finale.

Whereas Brahms and Chopin passively transform their motto and even make it sinister – Chopin's motto is presumably destroyed by the “fateful” tritonal transformation in the middle section –, Henselt and Rachmaninoff try to “brighten” their motto in the major mode while preserving its tragic connotations. Such efforts may connote a titanic struggle with destiny, which refuses yield easily; although fate remains as it is, their musical protagonists try to overcome it triumphantly.

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